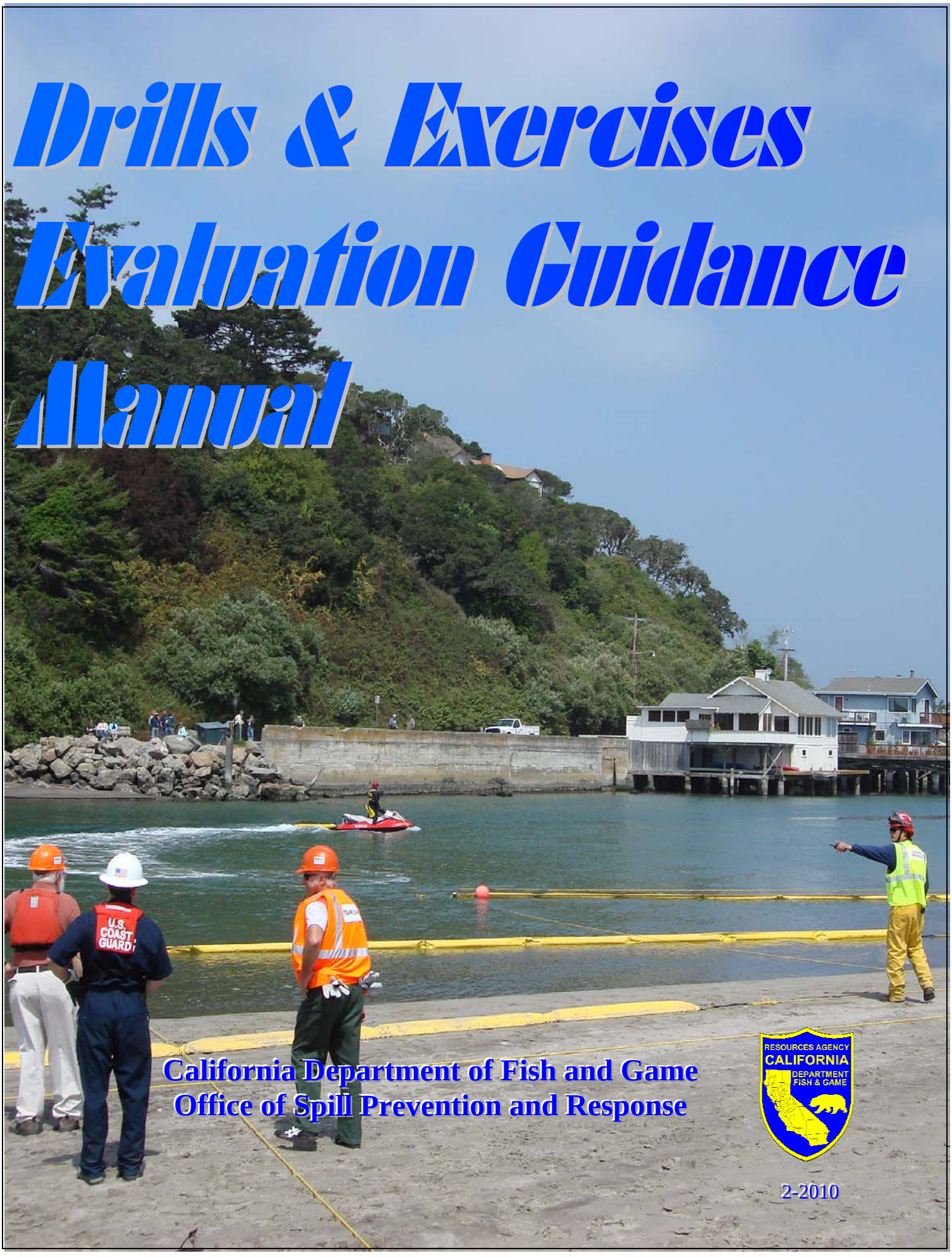
Drills & Exercises Evaluation Guidance Manual



California Department of Fish and Game
Office of Spill Prevention and Response

RESOURCES AGENCY
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DEPARTMENT FISH & GAME

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The following individuals contributed their expertise and knowledge to make this manual practical and useful: Mark Lampinen, Kathleen Jennings, Cassaundra White, Joy Lavin-Jones, Barbara Foster, Randy Imai, Hathor Woods, Michael Schommer, Vincent Jeffries, Chris Thixton, Forrest Gardens and Charlena Hayes.

TABLE OF CONTENTS

Manual Overview

The Drills and Exercises Evaluation Guidance Manual is a reference document assembled to provide direction and insight for OSPR staff and the regulated industry to meet OSPR drill requirements. It contains a description of types of exercises, describes the exercise evaluation process, PREP objectives and an interface between PREP and ICS structure. The use of this manual is not required for drills and exercises in California. Rather, it is intended to enhance the experience of participants and evaluators. Additional beneficial comments are welcome and may be submitted to Barbara Foster at telephone (916) 327-9406 or e-mail bfoster@ospr.dfg.ca.gov for insertion into future revisions.

This manual contains:

- An overview of drills and exercises,
- Evaluation guidelines,
- An interface between PREP and ICS,
- A list of PREP objectives and corresponding ICS meetings, forms and interaction.

Its intended use is for those participating in drills and exercises, for evaluation of drills and exercises and as an aid to those who want to understand the correlation between ICS and PREP. The first section is the overview, next is the PREP/ICS Interface followed by the section of drill observations and the ICS meeting questions. Included in the appendices are samples of an ICS Organizational Chart, the Planning P, a Master Scenario Events List (MSEL), an Exercise Summary and a list to use for outreach to agencies and elected officials.

The manual is an Adobe .pdf document. Adobe Acrobat and Adobe Reader have a **Search** or **Find** feature. Here is an example of how this feature might be used if someone were assigned to evaluate the Liaison Officer function. Enter the word “Liaison” into the **Search** or **Find** tool. The tool will retrieve all instances within the manual where “Liaison” occurs. Scrolling through the results will allow one to identify all pages where the word is used within the document. These pages may be printed for this specific evaluation so the evaluator would not have to take the entire 146 page document. Liaison appears 35 times but only 22 pages are needed to include all references.

The document is designed to be a living resource with additional observations added as needed. If one were to identify an additional “Expected Outcome” during an exercise, please contact OSPR personnel and we will incorporate this into the next revision. This entire document is designed to improve spill response.

I. Introduction

A. Mission

The mission of the Drills and Exercises Program is to integrate the drill objectives and goals, knowledge and experience of industry contingency plan holders, state, federal and local agencies, and other DFG/OSPR units, under a single common goal of improved spill response.

B. Over-Arching Goal: To improve oil spill responses by all parties involved by enhancing drill design and provide consistent evaluation methods to include better tracking and documenting lessons learned, both what is working and what needs to be improved. **This manual is designed for guidance only.** It is also considered a living document. It is designed to provide guidance to OSPR staff and the regulated industry to meet OSPR drill requirements.

The purpose of facility and vessel drills and exercises is to:

- Increase plan holders readiness to respond to pollution events.
- Allows plan holders or regulated community to network with State, Federal, and local government, and Tribal experts thereby clarifying roles and responsibilities.
- Provides an opportunity to improve communication skills using the Incident Command System (ICS) to outreach with local government, elected officials, the media and the public at large.
- Allows plan holders the opportunity to demonstrate the knowledge and skills with ICS as a management tool to respond to pollution events.
- Provides a training opportunity to practice and improve skills in a non-threatening environment.
- Validates existing policies, procedures, oil spill contingency plans, area plans, harbor safety plans.
- Through *Lessons Learned*, identifies improvement needs in existing policies, procedures, contingency plans, area plans, harbor safety plans.
- Identifies resources needed.
- Identifies need for additional training.

C. Goals of an Exercise*:*

The primary goal of the exercise for OSPR Drill Coordinators is to provide a thorough evaluation of the drill or exercise. The primary goal of all other OSPR staff is to practice how OSPR responds to an incident using the ICS as an incident management tool. Their secondary goal is to evaluate what they observe at the exercise. OSPR built upon the USCG PREP objectives to evaluate the ICS management system for pollution events.

The goal of exercise evaluation is to validate strengths and identify improvement opportunities for the participating organizations. This is accomplished by observing the exercise and collecting supporting data; analyzing the data to compare performance against expected outcomes; and determining what changes need to be made to the procedures, plans, staffing, equipment, communications, organizations and interagency coordination.

II. Background and Terminology

The OSPR is mandated by the Federal government to adopt the National Incident Management System (NIMS) to improve coordination and cooperation between public and private entities in a variety of domestic incident management activities.

A. NIMS is national approach to standardized incident management. It was signed into law by President Bush under Homeland Security Presidential Directive-5 and required adoption of NIMS by State and local agencies. The NIMS incident management structure is based on an organizational structure known as the Incident Command System (ICS).

See Appendix 1 - Governor Arnold Schwarzenegger, Executive Order S-02-05 *http://gov.ca.gov/executive-order/2002/*

B. Incident Command System (ICS) is an on-scene all-hazards incident management concept utilized to direct the incident operations including: tactical objectives; efficient use of resources; incident communications and information management; supporting technologies; multi-agency coordination. This enables OSPR to respond to, and restore California's natural resources that have been impacted by an oil spill. Evaluators determine how the different sections communicate and exchange information using ICS.

ICS, a key feature of NIMS, is a standardized, on-scene, all-hazards incident management concept. ICS helps ensure the safety of responders, the achievement of tactical objectives and the efficient use of resources. ICS:

- Integrates the responsible party, the OSPR and the Coast Guard and multiple government and non-government agencies in a Unified Command Structure that expands according to the needs of the incident.
- Establishes a pre-determined decision-making process and common language that significantly increase cooperation and combined efforts to manage the incident.
- Establishes common terminology.
- Mobilizes organizational resources.
- Allows for manageable span of control.
- Provides organizational facilities, such as the Command Post, Staging Areas, etc.
- Relies on an Incident Action Plan (IAP).
- Provides for accountability.

See Appendix 2, ICS Organizational Chart

C. ICS Planning "P" is a guide to the process and steps involved in planning for the next operational period during an incident. The "P" follows the progression of planning and meetings; the outcome is the Incident Action Plan for the next operational period.

The leg of the "P" describes the initial response actions and preparation for the next operational period by approving the Incident Action Plan. The steps are:

- Incident/Event
- Notification

- Initial Response activities, which depend upon the size of the incident, can include:
  - Safety
  - Isolation and denial of access
  - Command
  - Assessment
  - Action Plans
  - Protective Equipment
  - Containment/control
  - Protective Actions
  - Decontamination
  - Disposal
  - Documentation
- Incident Briefing using the ICS 201 includes:
  - Incident map/sketch
  - Initial incident objectives
  - Summary of current actions
  - Current organizational chart
  - Resources summary

- The Initial Incident Command(IC)/Unified Command (UC) Meeting will:
  - Form the Unified Command
  - Clarify roles and responsibilities
  - Name the incident
  - Review agency policies
  - Make key decisions which can include:
    - Jurisdictional boundaries
    - Response organization, including assisting & cooperating agencies
    - Location of Command Post
    - Operational Period
    - Best qualified Operations Section Chief and Deputy
    - Key command and General staff assignments, technical support as needed

At the top of the leg of the "P" is the beginning of the next operation planning period cycle. At the same time, Planning is catching up with the Initial Response Actions that Operations has initiated**.**

In this circular sequence, the steps are:

- IC/UC Objectives/Update Objectives Meeting
- Command and General Staff Meeting
- Preparing for the Tactics Meeting
- Tactics Meeting
- Preparing for the Planning Meeting
- Planning Meeting
- IAP Prep & Approval
- Execute Plan & Assess Progress

- Operations Briefing
- Begin next operational period

See Appendix 3, ICS Planning "P" Process

The **Incident Action Plan (IAP)** contains all the ICS forms that provide a coherent means to communicate the overall incident objectives in the context of both operational and support activities. IAP's are developed for the next operational period, usually 12 or 24 hours, as established by the UC.

The Unified Command establishes objectives to accomplish response tactics. The tactics are tracked and documented using ICS forms.

The objectives are communicated throughout the organization by the UC and are used to

- Develop and issue assignments, plans, procedures and protocols
- Direct efforts to attain the objectives in support of defined strategic objectives

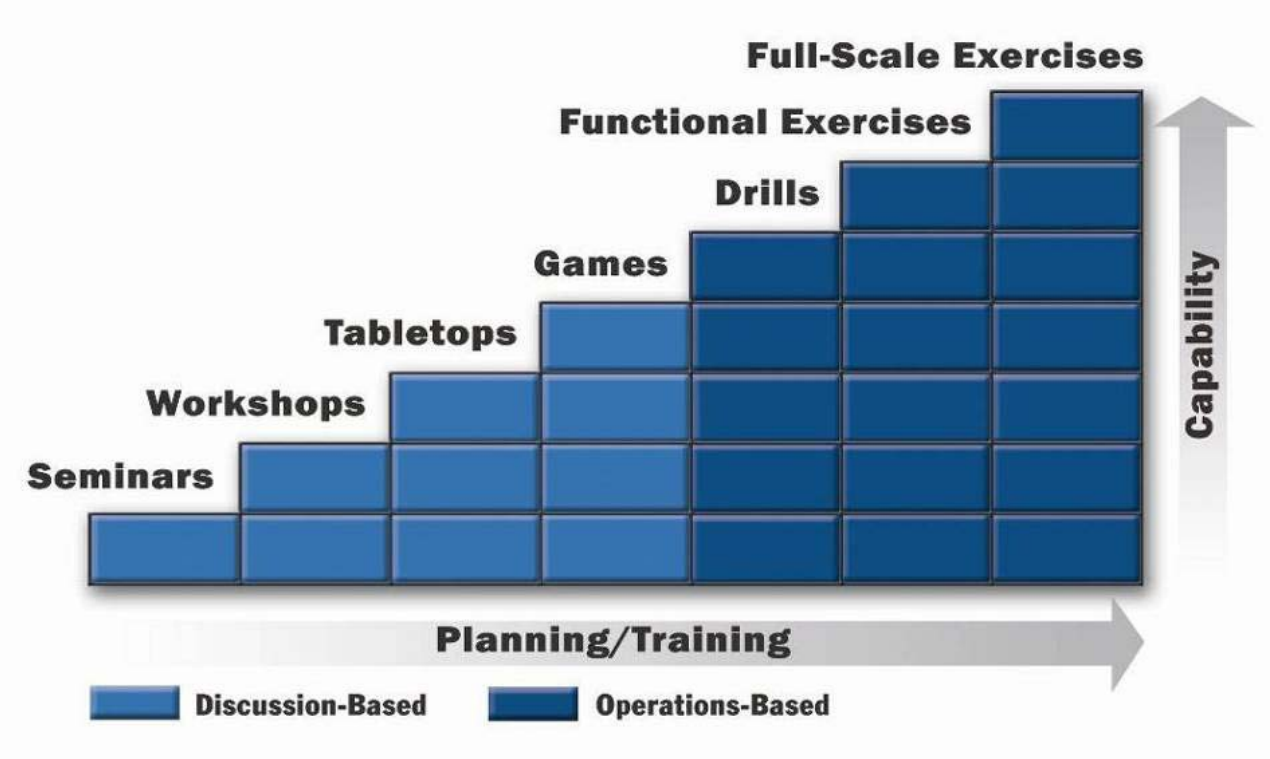
The results are always documented and fed back into planning for the next operational period.

D. The Preparedness for Response Exercise Program (PREP) was developed to establish a workable exercise program which meets the intent of the Oil Pollution Act of 1990 (OPA 90). The PREP represents the **minimum** guidelines for ensuring adequate response preparedness. The PREP exercises should be viewed as an opportunity for continuous *Improvement Planning*.

The OSPR has taken PREP two steps further by adding California objectives and by correlating the ICS positions with the PREP objectives.

E. Homeland Security Exercise and Evaluation Program (HSEEP) HSEEP is a capabilities-based exercise program that provides a standardized methodology and consistent terminology for designing, developing, conducting and evaluating all exercises and provides tools and resources to help build self-sustaining exercise programs. It is a program that includes a cycle, mix and range of exercise activities of varying degrees of complexity and interaction. The program meets the NRP and NIMS goals as specified in HSPD-8. The process can be altered and applied as appropriate.

See Appendix 4 for PREP Objectives and Appendix 5 for PREP/ICS Interface



Building Block Chart – Homeland Security Exercise and Evaluation Program (HSEEP) Vol. 1

III Types of Exercises

A. Discussion-Based Exercises

Discussion-based exercises are used as a starting point in the building-block approach of escalating exercise complexity. Discussion-based exercises include seminars, workshops, tabletop exercises (TTX's), and games. These types of exercises typically highlight existing plans (plan holder oil spill contingency plans, ACP, etc.), policies (OSPR Operations Center), interagency/inter-jurisdictional agreements (MOU's or MOA's with the Department of Toxic Substance Control, the State Water Board, etc.) and protocols or procedures (e.g., how OSPR conducts SCAT).

Discussion-based exercises are valuable tools for familiarizing agencies and personnel with current or expected actions during a pollution event. Discussion-based exercises typically focus on strategic, policy-oriented issues. Facilitators and/or presenters usually lead the discussion, keeping participants on track toward meeting exercise objectives.

B. Seminars

Seminars are informal discussions, unconstrained by real-time portrayal of events and led by a presenter. They generally provide an overview of authorities, strategies, plans, policies, procedures, protocols, response resources, and/or concepts and ideas. Seminars can provide a good starting point for developing or making major changes to plans and procedures.

C. Workshops

After seminars, workshops represent the second tier of exercises in the HSEEP building-block approach. They differ from seminars in two important respects: participant interaction is increased, and the focus is on achieving or building a product (such as a draft volunteer plan or policy).

Workshops are often employed in conjunction with exercise development to determine objectives, develop scenarios, and define evaluation criteria. A workshop may also be used to produce new standard operating procedures (SOP's), emergency operations plans, multi-year plans, or improvement plans. To be effective, workshops should be focused on a specific issue, such as Resource Ordering and Tracking, and the desired outcome or goal must be clearly defined.

D. Tabletop Exercises (TTX's)

TTX's involve key personnel discussing hypothetical scenarios in an informal setting. This type of exercise can be used to assess oil spill contingency plans, policies, and procedures or to assess the ICS structure to guide the response to, and recovery from a pollution incident. TTX's typically are aimed at facilitating understanding of concepts, identifying strengths and shortfalls, and achieving changes in the approach to a particular situation. Participants are encouraged to discuss issues in depth and develop decisions through slow-paced problem solving, rather than the rapid, spontaneous decision making that occurs under actual or simulated emergency conditions. The effectiveness of a TTX is derived from the energetic involvement of participants and their assessment of recommended revisions to current policies, procedures and plans.

In a basic TTX, the situation is established by the scenario. It describes a pollution event or spill incident and brings discussion participants up to the simulated present time. Players apply their knowledge and skills to a list of problems presented by the leader/moderator; problems are discussed as a group; and the leader generally agrees on and summarizes the resolutions.

In an advanced TTX, play revolves around delivery of pre-scripted messages injects to players that build on the original scenario. The exercise controller (or moderator) usually introduces problems one at a time in the form of a written message, simulated telephone call, videotape, or other means. Participants discuss the issues raised by the simulated problem, applying appropriate plans and procedures.

TTX's are effective for evaluating group problem solving, personnel contingencies, group message interpretation, information sharing, interagency coordination and achievement of specific objectives. A TTX also give all participants the advantage of seeing and learning each others expertise.

E. Games

A game is a simulation of operations that often involves two or more teams and uses rules, data, and procedures to depict an actual or assumed real-life situation. The goal of a game is to explore decision-making processes and the consequences of those decisions. A game does not require use of actual resources, and the sequence of events affects, and is in turn affected by, decisions made by players.

Computer-generated scenarios and simulations can be used to provide a more realistic and time-sensitive method of introducing situations for analysis. Planners' decisions can be input into realistic models to show the effects of decisions made during a game, such as spill trajectories and the movement of response equipment. They also provide a collaborative environment that reflects realistic occurrences.

F. Operations-Based Exercises

Operations-based exercises represent the next level of the exercise cycle. They are used to validate the plans, policies, agreements and procedures solidified in discussion-based exercises. Operations-based exercises include drills, functional exercises (FE's), and full-scale exercises (FSE's). They can clarify roles and responsibilities, identify gaps in resources needed to implement plans and procedures and improve individual and team performance. Operations-based exercises are characterized by actual reaction to an oil spill or pollution incident, response to emergency conditions; mobilization of equipment, resources, and/or networks; and commitment of personnel, usually over an extended period of time. In this context, OSPR-required semi-annual equipment deployment drills are classified as operations-based exercises.

G. Drills

A drill is a coordinated, supervised activity usually employed to validate a single, specific operation or function in a single agency (OSPR internal exercises) or multi-organizational (Unified Command: OSPR, USCG, RP, local government, Tribes, other State agencies, elected officials). Drills are commonly used to provide training on ICS, new equipment, develop or validate new policies or procedures, verify oil spill contingency plans, or practice and maintain current skills. Drills are also an effective training ground for lessons learned from previous spills or exercises.
Typical attributes of drills include but are not limited to:

- A specific focus on an Area Contingency Plan
- A plan holder oil spill contingency plan
- Lessons learned
- A realistic incident scenario which would address environmental, cultural, economic impacts
- Address public concerns regarding human health and wildlife impacts.

H. Functional Exercises

An FE is designed to practice and improve: individual capabilities, multiple functions (Liaison, media) and activities (SCAT) within a function (Wildlife OPS). Events are projected through an exercise scenario with activity that drives the Unified Command and all participants to communicate with each other and make decisions. An FE simulates the reality of operations during an oil spill or pollution event based on realistic problems that require rapid and effective responses by participants, in a highly stressful, time-constrained environment. It is an opportunity to train new personnel to respond to a pollution event.

Response and recovery focused FE's generally concentrate on exercising the plans (ACP, Plan-holder oil spill contingency plans etc.), policies (OSPR Internal Operations Center drills), procedures (how we conduct SCAT or Wildlife Operations) and/or multi-agency coordination centers (e.g., Cal EMA REOCs). Movement of personnel and equipment is simulated. In this context, oil spill contingency plan holder table top exercises are classified as functional exercises.

I. Full-Scale Exercises

The FSE is the most complex type of exercise. FSE's are multi-agency, multi-jurisdictional, multi-organizational exercises that validate many facets of preparedness. They focus on implementing and analyzing the oil spill response plans, policies, procedures and cooperative agreements developed in discussion-based exercises and honed in previous, smaller, operations-based exercises. In FSE's, the reality of operations in multiple functional areas presents complex and realistic problems that require critical thinking, rapid problem solving and effective responses by trained personnel. During FSE's, events are projected through a scripted exercise scenario with built-in flexibility to allow updates to drive activity. FSE's for oil spills are usually in drill time, some time with real–time tides, currents and weather, creating a stressful, time-constrained environment

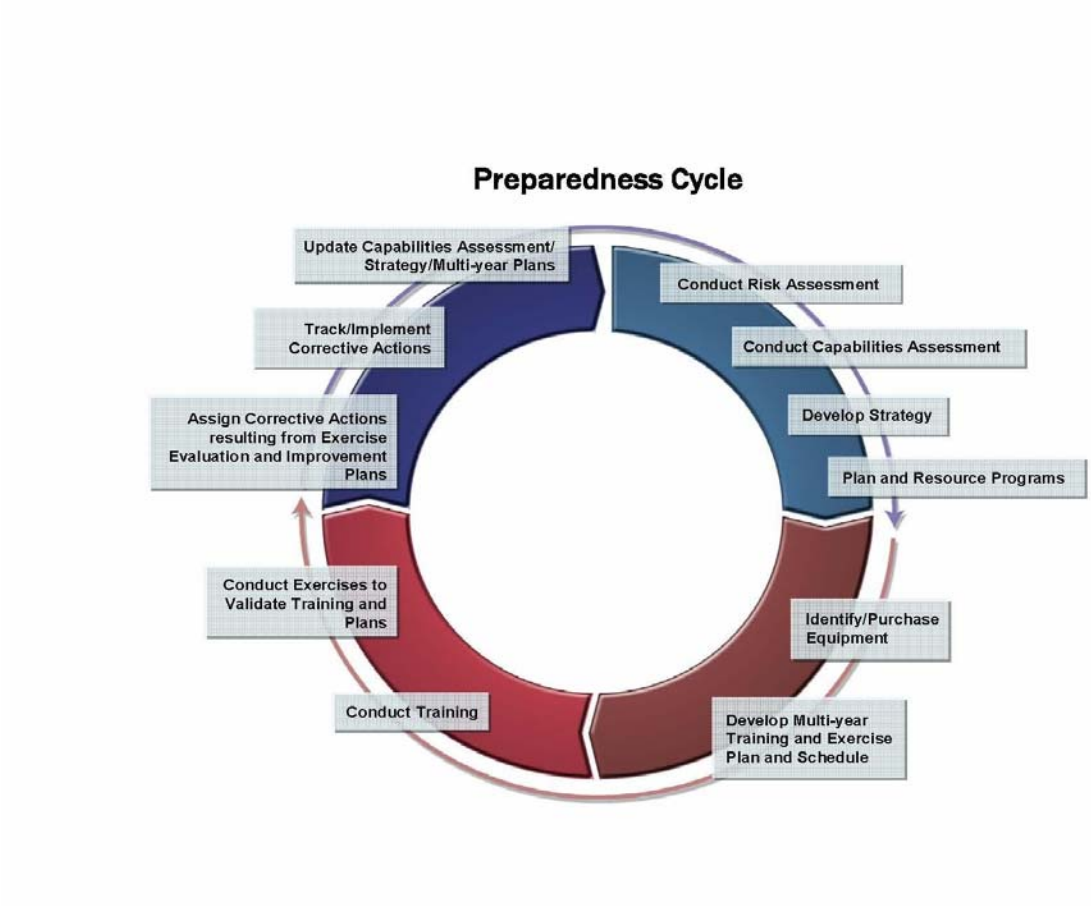
that closely mirrors real events. The level of support needed to conduct an FSE is greater than that needed during other types of exercises. USCG or EPA NPREP exercises are classified as full-scale exercises.

Response-focused FSE's include many Field Response Teams, or Industry Response Teams, operating under the principles of the National Incident Management System (NIMS) to effectively and efficiently respond to an incident. Personnel and resources are mobilized and deployed to the scene where they conduct their activities as if a real incident had occurred (with minor exceptions).

HSEEP Types of Exercises

Utility/Purpose		Type of Player Action	Duration	Real-Time Play?	Scope
Discussion-Based Exercises	Familiarize players with current plans, policies, agreements, and procedures; develop new plans, policies, agreements, and procedures	Notional; player actions are imaginary or hypothetical	Rarely exceeding 8 hours	No	Varies
Seminar	Provide overview of new or current plans, resources, strategies, concepts or ideas	N/A	2-5 hours	No	Multi- or Single-agency
Workshop	Achieve specific goal or build product (e.g., exercise objectives, SOPs, policies, plans)	N/A	3-8 hours	No	Multi-agency/ Single function
Tabletop Exercise (TTX)	Validate plans and procedures by utilizing a hypothetical scenario to drive participant discussions	Notional	4-8 hours	No	Multi-agency/ Multiple functions
Game	Explore decision-making process and examine consequences of those decisions	Notional	2-5 hours	No (though some simulations provide real- or near-real-time play)	Multi-agency/ Multiple functions
Operations-Based Exercises	Validate plans, policies, agreements, and procedures; clarify roles and responsibilities; identify resource gaps	Actual; player action mimics reaction, response, mobilization, and commitment of personnel and resources	May be hours, days, or weeks, depending on purpose, type, and scope of the exercise	Yes	Varies
Drill	Validate a single operation or function of an agency	Actual	2-4 hours	Yes	Single agency/ Single function
Functional Exercise (FE)	Evaluate capabilities, functions, plans, and staffs of Incident Command, Unified Command, intelligence centers, or other multi-agency coordination centers (e.g., EOCs)	Command staff actions are actual; move-ment of other personnel, equipment, or adversaries is simulated	4-8 hours or several days or weeks	Yes	Multiple functional areas/ Multiple functions
Full-Scale Exercise (FSE)	Validate plans, policies, procedures, and cooperative agreements developed in previous exercises through their actual implementation and execution during a simulated scenario; includes actual mobilization of resources, conduct of operations, and integrated elements of functional exercise play (e.g., EOCs, command posts)	Actual	One full day or several days or weeks	Yes	Multi-agency/ Multiple functions

Chart –Homeland Security Exercise and Evaluation Program (HSEEP) Vol. 1 HSEEP Overview and Exercise Program Management



Homeland Security Exercise & Evaluation Planning

Preparedness Cycle – Target Capabilities List – A companion to the National Preparedness Guidelines.

Chapter IV Exercise Evaluation

A. Definition of Exercise Evaluation

Evaluation can be defined as the act of reviewing, observing, and recording exercise activity or conduct, assessing behaviors or activities against exercise objectives, and noting strengths, weaknesses, deficiencies, or other observations. OSPR uses the PREP objectives to achieve this.

Evaluation should not be a single event on the exercise process; instead, it should be carefully integrated into the overall exercise design.

Good evaluation questions can also serve as “Tip Sheets” for players or field staff during an actual incident.

The output of exercise evaluation is identify lessons learned to improve performance, improve plans, identify training and identify resource needs. For this reason, exercise evaluation is part of the on-going process to improvement preparedness.

B. Assignments, Roles & Responsibilities

The drill design team identifies Evaluators and assigns them sections to evaluate. Of course, the assignment could change the day of the exercise

Exercise Coordinator serves as the overall lead for the conduct of the exercise and ensures that control, evaluation and simulation activities are carried out appropriately.

Exercise Evaluation Director is responsible for the coordination of the evaluation. During the exercise, the Exercise Director will manage the Evaluators and ensure that all evaluation materials are collected. The Evaluator Director works closely with the Exercise controller to assure the scenario proceeds in a timely fashion and to assure the participants have a meaningful experience.

After an industry-led or Federal-led exercise, the Exercise Evaluation Director will ensure that the *After Action Report, Lessons Learned* and *Improvement Plan* are developed and submitted to the Exercise Directors. OSPR staff will participate as applicable.

Exercise Controllers are responsible for monitoring exercise play to ensure that the scenario proceeds according to the planned timeline of events and that player response is conducted within the intended parameters of the exercise. Generally, Controllers are assigned to monitor play and provide exercise "injects". Controllers relay certain physical descriptions of what would be occurring at the incident site and surrounding areas to the pollution incident. Controllers can also act out the roles of individuals or organizations not actively participating in the exercise. It is their capacity as **Simulators,** in a Simcell or Truth section, they are responsible for simulating player response through the use of pre-scripted messages delivered via normal communications channels (e.g. by phone, fax, radio, e-mail, or in person) or as spontaneous reactions to players. Each of these Controllers are technically knowledgeable in the area that he/she is simulating and responds appropriately to player requests for information on a real-time basis.

One of the Controller's primary responsibilities includes ensuring the continuity of the scenario and maintaining safety and security. Their first and most important function is to maintain exercise safety. Again, Controllers and Evaluators coordinate efforts.

Evaluators are responsible for observing and assessing player responses based on pre-defined evaluation criteria. They can be chosen from various agencies, based on their expertise in a particular functional area, to evaluate and comment on designated areas of the exercise. Evaluators have a passive role in the exercise and only note the actions of players; they do not interfere with the flow of the exercise. However, evaluators may ask questions about specific actions e.g., writing a waste management plan.

Evaluators will be assigned to observe an ICS Section or function. For example, you may be assigned to evaluate the Command Staff Section or Liaison Officer function or Joint Information Center function.

Ultimately, Controllers and Evaluators are responsible for controlling and evaluating an exercise as outlined in the definitions above and detailed below. Specific responsibilities of Control Staff fall into three time-related categories: Pre-Exercise, Exercise, and Post Exercise.

Pre-Exercise Responsibilities

- Ensure familiarity of the response organization's roles and responsibilities as outlined in the Area Contingency Plan, CA Wildlife Operations Plan, Volunteer Plan, Liaison Officer Protocols, and Field Response Protocols, and appropriate Vessel or Facility Contingency Plan.
- Review and be familiar with the exercise objectives, scenario, and other guidance materials in this manual prior to conduct of the exercise.
- Understand exercise organization and exercise control.
- Attend the Controller and Evaluator Training.

Exercise Responsibilities

- Enforce rules of play.
- Monitor player activities in light of established ground rules for play.
- Assess the progress of the scenario and the pace of activity to ensure that the scenario remains on track.
- Provide frequent feedback to the Exercise Coordinator and/or Controller on exercise activities and implications for the unfolding scenario.
- Coordinate with the Control, should any problems or questions arise concerning the bounds of play or the adequacy and content of message inputs.
- Follow proper procedures in the event of a real emergency.
- If you have been given injects, deliver them to players at the time indicated in the MSEL (or as directed by the Exercise Coordinator).
- Begin and end all exercise communication over the radio or telephone with the phrase, "This is an Exercise".
- During the exercise, do not prompt a player regarding what a specific response should be unless inject directs you to do so. Clarify information as long as it does not provide coaching.
- Ensure all observers and media personnel do not interfere with exercise play. If you need assistance, notify the Exercise Coordinator or Controller.

Post-Exercise Responsibilities

- Distribute and collect copies of Observation/Critique Forms.
- Assist with the Player Debrief if requested.
- Participate in the Controller and Evaluator Debrief.

V. Evaluation Process & Methodology

A. Steps of OSPR's Evaluation Process

Step 1 Plan and Organize the Exercise
Step 2 Observe the Exercise and Collect Data
Step 3 Analyze Data
Step 4 Identify Lessons Learned
Step 5 Participate in *After Action Report* as applicable. Either the plan holder or USCG may take the lead in writing the report. Request a copy of AAR when complete.
Step 6 Send OSPR Matrix out to OSPR participants. Keep final copy in the appropriate Matrix folder, on the shared Drills and Exercises drive.
Step 7 Record comments in Drills and Exercises element of the Readiness Database.

Evaluators must be able to understand the ICS section(s) assigned to them, describe the action observed, understand the IAP planning process, record the information chronologically and identify areas for improvement. Descriptive reporting is the direct observation and documentation of the actions listed on the evaluation form and typically yields reliable data.

Evaluative reporting requires evaluators to determine whether an objective has been met successfully, or if additional training is necessary

B. Evaluation Step Details

The following overview describes the steps in the evaluation and improvement process:

Step 1: Plan and organize the evaluation.
As part of the exercise design and objectives development process, the Joint Design Team determined what evaluation information to collect, who will collect it, and how it will be collected. Once the objectives are identified, the Scenario is created.

The **scenario** drives the participant play. It should be realistic and challenging. The scenario should facilitate accomplishment of the design goals. The scenario should contain three basic elements: conditions that allow participants to demonstrate proficiency and competency in meeting exercise goals; the context of a comprehensive; technical details that depict scenario conditions and events.

Scenario example: On a foggy morning in San Francisco Bay a large cargo vessel hits a bridge. The vessel receives a large 100 foot gash spilling 53,000 gallons of oil into the bay in a matter of seconds.

Scenario tools are used to initiate and stimulate the exercise play and inject scenario events. These include a **Master Scenario Event List (MSEL)** that outlines benchmarks or actions anticipated during the exercise. Part of the MSEL may include scripted messages, or **injects**, to be introduced into exercise play. A Message Summary is also available for use by Controllers and Evaluators. The MSEL has been developed to ensure continuous play during stated exercise hours. If a sufficient level of exercise intensity cannot be maintained as a result of actual play or messages, the Exercise Coordinator will instruct Controllers to adlib additional injects. Injects can be phoned into the various sections or hand-delivered.

See Appendix 6, Master Scenario Events List

Step 2: Observe the exercise and collect data.
During the exercise, expert evaluators collect data by recording their observations during exercise play and collecting additional data from records, logs, etc. It is important to concentrate on simply recording what is happening in the provided Observation Log or standard note pad. The analysis of how well the exercise met expectations is done after the exercise.

During the Exercise
Controllers and Evaluators will check-in at their assigned location one-half hour prior to the beginning of the exercise.

Within the assigned location, Controllers and Evaluators must determine when and where to position themselves to observe exercise events and to follow the movement of play. They can often observe better from locations where players are doing critical tasks or where they can observe the overall flow of organization and actions. The best position is wherever the Controller/Evaluator can best see and hear the action. However, a Controller/Evaluator should not take a position where he or she might be a distraction or interfere with the exercise play.

Observing the Exercise
Evaluators must keep an accurate written record of what they see and hear. This can be conducted on the OSPR Observation Logs. Evaluators should take notes as players take action and make decisions. Notes should identify the following:

- Who (by name or position) performed the action or made the decision;
- What occurred (the observed action);
- Where (the location) the action or decision took place;
- When (the time) the action took place;
- Why the action took place or decision was made (the trigger); and
- How they performed the action or made the decision (the process).

The Observation Log provides space to create a chronological record of the action to address the above questions. In addition to the Observation Log, Exercise Evaluation Questions are provided to help capture Evaluators' observations and recommendations.

Tips for a Successful Observation:

DO:

- Be at the appropriate position when the players arrive
- Get a good view of the activities
- Focus on critical Activities
- Take detailed notes, including time of events
- Write legibility

DO NOT:

- Prompt players. Go to the Lead Controllers with concerns so that both of you can observe play. The controller will decide what prompt or injects need to be brought into play.
- Get in the way

- Answer questions for players however, it is encouraged to ask an OSPR expert to spend time discussing a specific issue to facilitate training or discuss California concerns.

What to Look for and Record

Evaluators must review the exercise specific evaluation plan and the OSPR Evaluation Plan so they will be able to determine that the exercise questions and objectives they will be observing and know the key actions that must be completed before the objective has been met. They should ask for clarification from the Drill Coordinator at this time. Evaluators may observe important actions that are not part of the Exercise Evaluation plan but it is very important to document these actions. In many cases there will be no Evaluation Plan therefore, OSPR's Evaluation Guidelines will take precedence.

Because numerous events may be occurring simultaneously, Evaluators may not be able to record all the action. Knowing which events are important makes recording the action manageable, eliminates superfluous information, and provides the kind of data most useful for exercise evaluation. The OSPR Observation Log is designed to help the Evaluator ensure PREP objectives are met.

Important events that Evaluator's should record include the following:

- **Initiation of scenario events** (including when players first detect abnormal conditions).
- **Actions of players** in relation to the scenario.
- **Key decisions** made and the times these decisions are made.
- **Deviations** from plans and implementation procedures.
- **Times** when mitigating actions or critical actions are taken and completed.
- **Message in:** An individual or group receives information from somebody outside of their physical location. Messages can be sent via radio, telephone, e-mail, fax, or another means other than face-to-face conversation. If known, indicate if the message is an inject (see below).
- **Message out:** An individual sends information to another individual or group of people outside of their physical location. Messages can be sent via radio, telephone, e-mail, fax, or another means other than face-to-face conversation.
- **Movement:** An individual, group, or piece of equipment relocates.
- **Activity:** An individual or group performs a specific, clearly definable action or function.
- **Inject:** Information, including directives, instructions, and decisions that are provided by exercise controllers to exercise players. Injects can be written, oral, electronic, or televised and can be transmitted via any means (e.g., fax, phone, e-mail, voice, radio, or sign).
- **ICS Positions** and span of control.
- **Creative problem-solving** beyond current plans and implementation procedures.

Much of the above information will be obtained through watching and listening to the exercise players. However, the Evaluators may also interact with players during the exercise if they have a question about something they observed. This may be especially important for those Evaluators observing play in the Incident Command Post (ICP), the Joint Information Center (JIC), or similar locations where much of the activity is conducted over the phone. Because Evaluators cannot hear what is happening on the other end of the line, they may have to ask who the player was talking to and what was discussed. Evaluators should not interrupt play to ask such questions but should wait until there is a break in activity.

All evaluation information maintained by Evaluators must be submitted to the Exercise Coordinator at the Evaluation Team Debrief. We realize all of the Evaluators are very busy with their everyday jobs, and once the exercise concludes, the Evaluators will not have a great deal of time to spend on documenting their observations and recommendations. Therefore, we need your (participants) evaluation input before the conclusion of the Evaluation Team Debrief.

After the exercise, the Design Team will compile and analyze an evaluation report, such as the *After Action Report* or the internal OSPR Exercise Matrix (See Appendix 9), based on the information provided by all Evaluators. The design team will focus on the lessons learned to identify improvement for plans, objectives for future exercises, and/or identify training needs. Potential areas Evaluators should focus on to assist in that analysis include the following:

- Timelines in taking mitigating actions
- Communication among players, ICS Sections, and organizations
- Direction and coordination of real and simulated field activities
- Monitoring and assessing scenario events
- Creative player problem solving, beyond current contingency plans or implementation procedures (e.g., community outreach) or procedures that affect player efforts
- Equipment issues in relation to player efforts.

The OSPR has developed evaluation questions based on PREP and the integration of ICS. The questions are located in the following appendices:

See Appendix 7, OSPR Observation Log and Evaluation Questions and Appendix 8, Planning "P" Meeting Evaluation Questions

Documentation

Exercise evaluation is based on the exercise objectives and specific evaluation elements associated with each objective. The evaluation materials are structured to enable Evaluators to gather information on the performance of participating organizations for each applicable evaluation aspect demonstrated at a particular location.

Organizations are expected to demonstrate their response capabilities to the best of their ability and in accordance with their plans and procedures. The PREP objectives are a tool to help determine whether the organization's response was consistent with current plans and procedures. Any inconsistencies should be assessed regarding whether they impeded or improved response activities and should be documented if possible. The Evaluators should note any exceptional procedures that may be recommended to others.

Immediately following the exercise, the Evaluators should review their notes, fill in any gaps, and review the questions in the section of the entitled "Follow-Up Analysis". The data analysis questions in the evaluation guides are designed to prompt the Evaluator's recollection of key activities. Evaluators may use lulls in action during the exercise to begin to complete this task. Evaluation materials, including notes and forms, become part of the exercise documentation. At the end of the exercise, all exercise materials generated by the players will be collected for possible use during analysis. When appropriate, these records can help Evaluator's validate their observations, determine equipment status, and identify the effect of inaccurate information on response operations. Additionally, Evaluators need to be aware of information recorded on status boards and periodically copy down their contents.

Step 3: Analyze data.
The first step in the analysis process is a Player Debrief/Hot Wash, which is a short discussion session immediately following exercise completion to get player feedback on areas that went well and opportunities for improvement.

The second step of the analysis includes the review of the Observation Logs, Evaluation Questions, and conducting an Evaluation Team Debrief. The Evaluation Team will meet to conduct a debrief to identify issues and lessons learned shortly after the exercise. The debrief identifies what happened during the exercise, exemplary practices, issues that need to be addressed, and recommendations for improvements.

The **Evaluation Team Debrief** is a forum for exercise review. It is a facilitated discussion covering each functional area and the exercise process. During the debriefing, Evaluators should ensure that their completed exercise materials have been provided to the Exercise Coordinator. The Evaluation Team Debrief will be held immediately after the exercise. The purpose of the Debrief is to conduct the analysis phase of the evaluation. During the analysis phase, Evaluators combine their observations with those of the others. They reconstruct the events and analyze outcomes and interactions across agencies, disciplines and jurisdictions in achieving broad mission outcomes. As part of the analysis, recommendations and action items should be considered and submitted.

The analysis phase should answer the following questions about the exercise play:
- What happened?
- What was supposed to happen?
- If there is a difference? Why?
- What is the effect of that difference?
- What should be learned from this?
- What improvement should be made or exemplary practices adopted?

Reconstruct Exercise Events
A major component of the analysis process is the reconstruction of the activities that occurred during the exercise. The evaluators will take their observation logs and notes and other collected data (e.g., logs, and records) and begin to build a picture of what occurred during the exercise. The purpose of this analysis is to identify discrepancies between what happened and what was supposed to happen, and develop recommendations for improvement to address those gaps.

Outcomes of the reconstruction portion of the debriefing:
- A discussion that reconstructs the events that occurred.
- A review of exercise objectives and tasks that were to be accomplished.
- A determination of which tasks went well and which tasks need improvement.

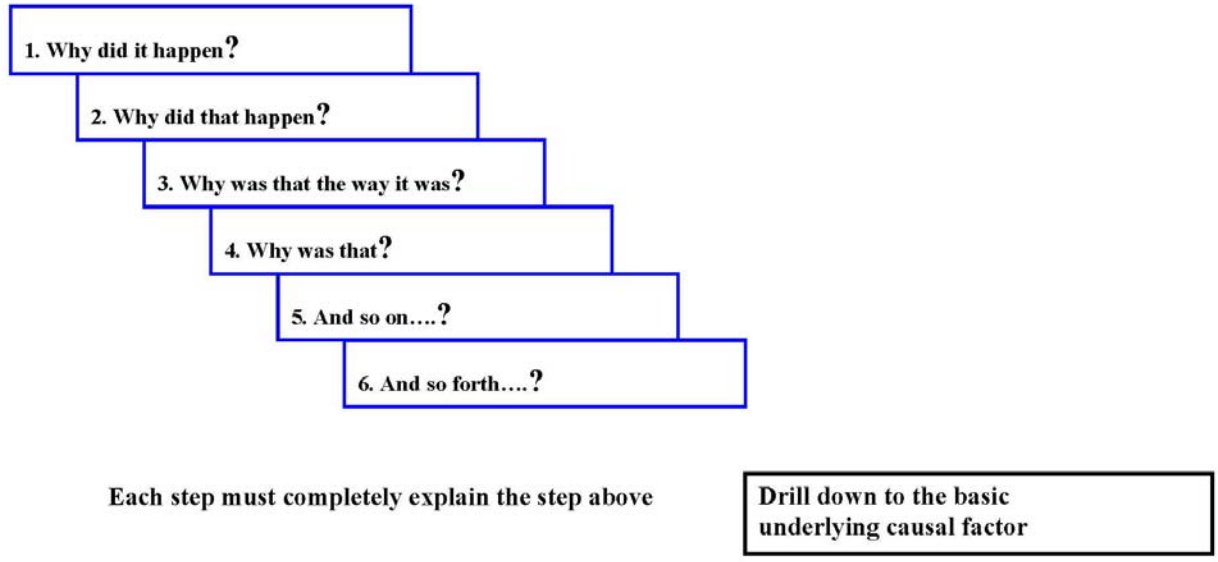
Determine the Root Causes of Differences
When the reconstruction is completed, the Evaluators should be able to identify tasks that were successfully accomplished as well as any disconnects or weaknesses.

Questions to consider include:
- Was the task completed as expected?
- If yes, was it completed within the expected timeframe?

- If not, what effect did the delay have on other activities or on the overall response mission?
- Was the delay due to additional training or mentoring opportunities?
- If the task was completed using an alternative approach, is there something that can be learned from how the task was done? Is the alternative approach better or more efficient?
- What effect did not completing the task have on other tasks and on the ability of the response organization to achieve mission success?

The Evaluators should then search for the root cause of why an expected action did not occur or was not performed as expected. The Evaluators should keep asking why an event happened or did not happen until they are satisfied that a cause is identified. It is important to reach this level of understanding to make recommendations that enhance preparedness.

A number of different analysis tools are available for root-cause analysis. One commonly used tool is the "why staircase." This tool is used to help determine why there was a difference between what was planned and what actually occurred. It also helps the Evaluators detect flaws in their reasoning. Each step is a symptom (or effect) of the item below and a cause of the item above. It starts with the event, action, or decision and ends with the root cause of its occurrence. Its purpose is to get the evaluators past the surface, where the true issue is rarely found.



Example of Root-Cause Analysis

During an exercise, it was observed that the field teams could not find certain environmental monitoring locations because their maps were different from the one used by the Field Team Coordinator. The recommendation was that "all maps used by the Coordinator and the field teams should be the same." However, this observation does not address the root cause of why field teams had different maps. Therefore, it is not clear how to ensure that the problem would not be repeated. For example, was it a problem in distributing the maps? Further discussion revealed that the field teams had actually been given the same map as the Coordinator, but they chose to use the old map because the new map was not as clear or well laid out. Thus, part of the solution to the problem would involve improving the map itself.

Step 4. Identify Lessons Learned

A **"lesson learned"** is knowledge gained from an exercise or response experience that provides valuable evidence – positive or negative – with recommendations on how to approach a similar problem in the future. A lesson learned is not just a summary of what went right or wrong; rather, it provides insight about a change that was made to address a particular issue. More broadly, these lessons should be suitable to share with other jurisdictions across the State in an effort to enhance preparedness. Although every recommendation that comes out of the analysis process may result in a lesson learned for the participating jurisdictions, those recommendations that may be applicable to other jurisdictions should be highlighted as major lessons learned in the After Action Report or the internal OSPR Exercise Matrix.

Techniques used to identify lessons learned include an exercise hot wash, evaluator debrief, the AAR, or actual pollution events.

Identify Opportunities for Improvement

The identification of issues and their root causes enables the Evaluators to develop recommendations for improvement. The recommendations should state what should be done and who should do it. The recommendations should have enough detail to make them useful.

Sometimes it is not clear exactly what should be done (e.g., budget constraints prohibit the purchase new equipment) or who should do it (e.g., coordination is an issue). In these cases, the Evaluators may recommend that the Area Committee appoint a task force to address the issue.

The Evaluators should use the following questions as a guide for developing recommendations for improvement:

- What changes are needed to plans and procedures to improve performance?
- What changes are needed to organizational structures to improve performance?
- What changes are needed to leadership and management processes to improve performance?
- What training is needed to improve performance?
- What changes to (or additional) equipment is needed to improve performance?

As part of identifying recommendations, the Evaluators should focus on who will be responsible for carrying out the action, which, in turn, will depend on whether the recommendation is aimed at the individual, team, department, function, or jurisdiction level.

Tips for Writing Recommendations

- Do not be afraid to make honest recommendations; improvement is the primary goal of exercises.
- Recommend a specific action that can be implemented and measured.
- Use action verbs.
- Provide points of contact and or appropriate time lines for completion.
- Indicate who (which agency) should take responsibility for implementation.
- Recommendations should flow from the observations and analysis.
- Make each recommendation a stand-alone statement that can be understood without referring to the text; spell out acronyms.
- Check for consistency; resolve issues that lead to conflicting recommendations.
- Indicate where performance was good or adequate and no recommendations were needed.

Step 5. Participate in the *After Action Report* if applicable

The Joint Design Team will meet the week following the exercise to review the Observation/Critique Forms, Player Hot wash information, Evaluation Team Debrief information, and Lessons Learned to develop the draft After Action Report and the Improvement Plan. The Joint Design Team will come to consensus on the issues, propose recommendations and opportunities for improvement in the Lessons Learned, and assign a lead entity to work towards resolving the issues and implementing the Improvement Plan (IP).

Step 6. The OSPR Matrix.

Send the draft OSPR matrix to OSPR exercise participants for final comments. Be sure to include a due date for comments. Once the comments have been received, summarize them into the Lessons Learned on the internal OSPR Exercise Matrix

Step 7. The Readiness Database.

The OSPR Drill Coordinator enters comments and/or lessons learned in Drills and Exercises element of the Readiness Database.

References:

USCG Incident Management Handbook
Strike Force Evaluator Training manual
PREP Guidelines
CA ACP
USCG Incident Management Handbook
Federal Regional Contingency Plan, Region 9
HSEEP Exercise and Evaluation Program
ConocoPhillips Management Handbook
Chevron Emergency Response Incident Command System Planning Cycle Quick Guide

Appendices

Appendix 1

02/08/2005

EXECUTIVE ORDER S-2-05

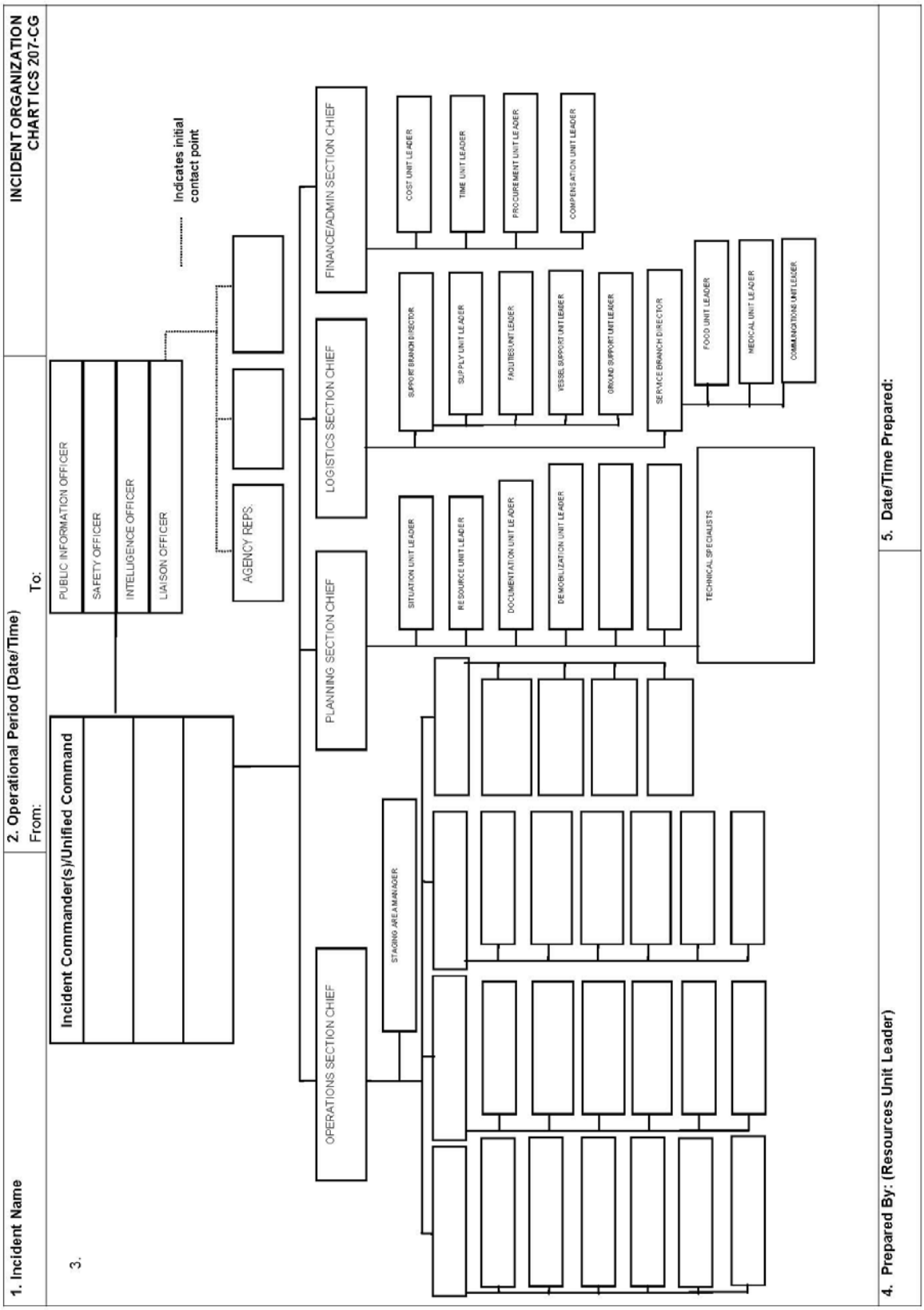
by the

Governor of the State of California

WHEREAS, the President in Homeland Security Directive-5, directed the Secretary of the Department of Homeland Security to develop and administer a National Incident Management System, which would provide a consistent nationwide approach for federal, state, local, and tribal governments to work together more effectively and efficiently to prevent, prepare for, respond to, and recover from disasters, regardless of cause, size, or complexity; and WHEREAS; California local and state government pioneered the development of standardized incident management systems to respond to a variety of catastrophic disasters, including fires, earthquakes, floods, and landslide; and WHEREAS, in the early 1970s, the California fire service, in partnership with the federal government, developed the seminal emergency incident command system that has become the model for incident management nationwide; and WHEREAS; in 1993, California was the first state to adopt a statewide Standardized Emergency Management System for use by every emergency response organization, and implemented a system involving local and state agencies to ensure the continual improvement of the Standardized Emergency Management System; and WHEREAS, California local and state emergency management professionals have contributed their expertise to the development of the new National Incident Management System; and WHEREAS, it is essential for responding to disasters and securing the homeland that federal, state, local, and tribal organizations utilize standardized terminology, standardized organizational structures, interoperable communications, consolidated action plans, unified command structures, uniform personnel qualification standards, uniform standards for planning, training, and exercising, comprehensive resource management, and designated incident facilities during emergencies or disasters; and WHEREAS, the California Standardized Emergency Management System substantially meets the objectives of the National Incident Management System, and WHEREAS, the National Commission on Terrorist Attacks (9-11 Commission) recommended adoption of a standardized Incident Command System nationwide. NOW, THEREFORE, I, Arnold Schwarzenegger, Governor of the State of California, by virtue of the power vested in me by the Constitution and Statutes of the State of California, do hereby direct the following: 1. My Office of Emergency Services and Office of Homeland Security, in cooperation with Standardized Emergency Management System Advisory Board, will develop a program to integrate the National Incident Management System, to the extent appropriate, into the state's emergency management system. 2. The Office of Emergency Services will identify any statutes or regulations that need to be eliminated or amended to facilitate implementation of the National Incident Management System. 3. The Office of Emergency Services will report on the status of the implementation of the National Incident Management System to my Emergency Council no later than June 1, 2005. IN WITNESS WHEREOF I have here unto set my hand and caused the Great Seal of the State of California to be affixed this the eighth day of February 2005. /s/ Arnold Schwarzenegger Governor of California

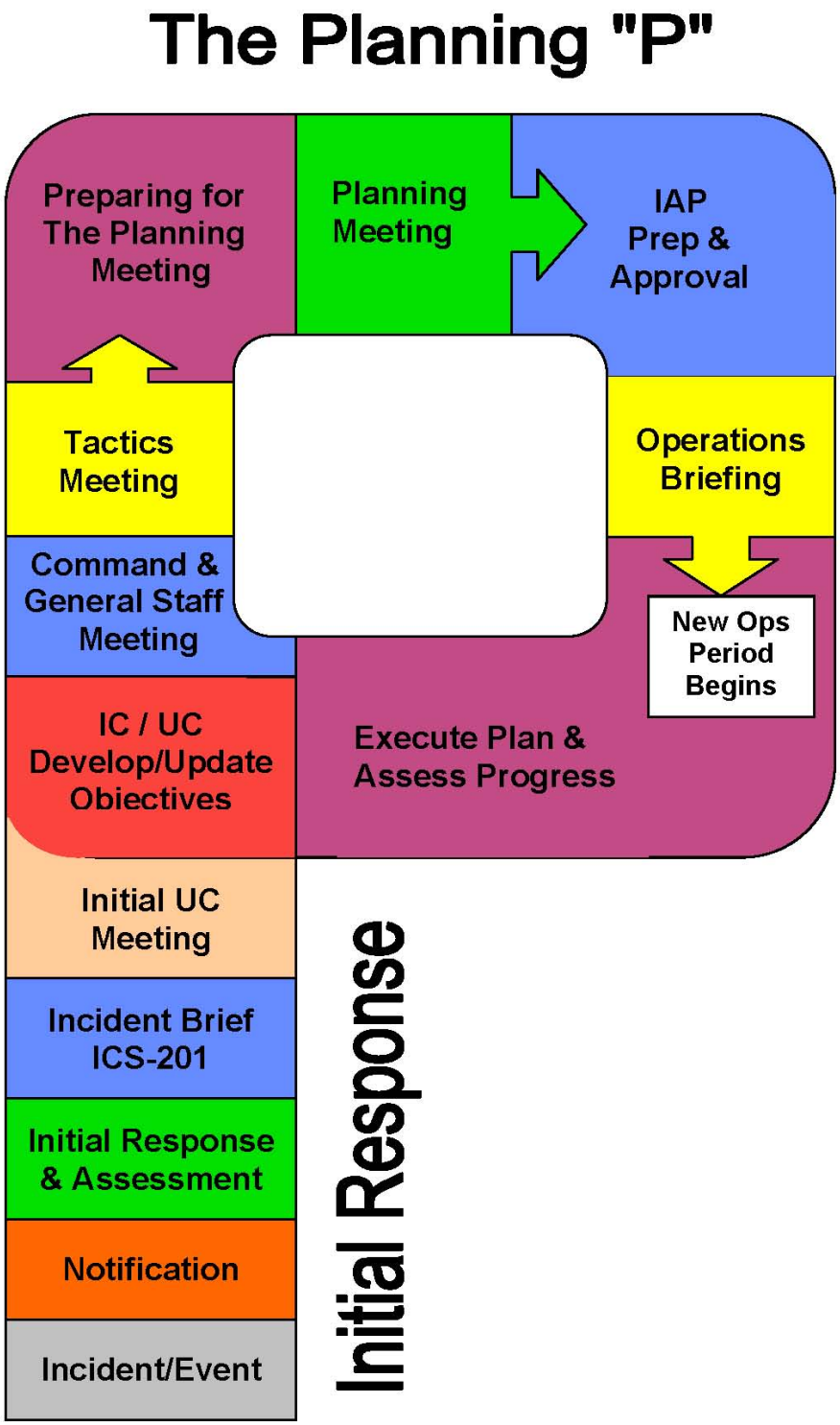
Appendix 2

ICS Organizational Chart



Appendix 3

Planning P Process



Appendix 4

California and PREP Objectives

(1) **Notifications**: Test the notification procedures identified in the contingency plan;

(2) **Staff mobilization**: Demonstrate the ability to assemble the spill response organization identified in the contingency plan;

(3.1) **Unified Command**: Demonstrate the ability of the spill response organization to form or interface with a Unified Command;

(3.1.1) **Federal Representation**: Demonstrate the ability to consolidate the concerns and interests of the other members of the unified command into a unified strategic plan with tactical operations;

(3.1.2) **State Representation**: Demonstrate the ability to function within the unified command structure;

(3.1.3) **Local Representation**: Demonstrate the ability to function within the unified command structure;

(3.1.4) **Responsible Party Representation**: Demonstrate the ability to function within the unified command structure;

(3.2) **Response Management System**: Demonstrate the ability of the response organization to operate within the framework of the response management system identified in their respective plans;

(3.2.1) **Operations**: Demonstrate the ability to coordinate or direct operations related to the implementation of action plans contained in the respective response and contingency plans developed by the unified command;

(3.2.2) **Planning**: Demonstrate the ability to consolidate the various concerns of the members of the unified command into joint planning recommendations and specific long range strategic plans. Demonstrate the ability to develop short range tactical plans for the operations division;

(3.2.3.) **Logistics**: Demonstrate the ability to provide the necessary support of both the short term and long term action plans;

(3.2.4) **Finance**: Demonstrate the ability to document the daily expenditures of the organization and provide cost estimates for continuing operations;

(3.2.5) **Public Affairs:** Demonstrate the ability to form a joint information center and provide the necessary interface between the unified command and the media;

(3.2.6) **Safety Affairs:** Demonstrate the ability to monitor all field operations and ensure compliance with safety standards;

(3.2.7) **Legal Affairs:** Demonstrate the ability to provide the unified command with suitable legal advice and assistance;

(4) **Source Control:** Demonstrate the ability of the spill response organization to control and stop the discharge at the source;

(4.1) **Vessel Emergency Services (formerly called Salvage):** Demonstrate the ability to assemble and deploy the vessel emergency services resources identified in the response plan;

(4.2) **Firefighting:** Demonstrate the ability to assemble and deploy the firefighting resources identified in the response plan;

(4.3) **Lightering:** Demonstrate the ability to assemble and deploy the lightering resources identified in the response plan;

(4.4) **Other Vessel Emergency Services (formerly called Salvage) Equipment and Devices:** Demonstrate the ability to assemble and deploy other vessel emergency services equipment and devices identified in the response plan;

(5) **Assessment:** Demonstrate the ability of the spill response organization to provide an initial assessment of the discharge and provide continuing assessments of the effectiveness of the tactical operations;

(6) **Containment:** Demonstrate the ability of the spill response organization to contain the discharge at the source or in various locations for recovery operations;

(7) **Recovery:** Demonstrate the ability of the spill response organization to recover, mitigate, and remove the discharged product. Includes mitigation and removal activities, e.g. dispersant use, in-situ burning use, and bioremediation use.

(7.1) **On-water Recovery:** Demonstrate the ability to assemble and deploy the on-water response resources identified in the response plans;

(7.2) **Shore-based Recovery:** Demonstrate the ability to assemble and deploy the shore-side response resources identified in the response plans;

(8) **Protection:** Demonstrate the ability of the spill response organization to protect the environmentally and economically sensitive areas identified in the approved Area Contingency Plans;

(8.1) **Protective Booming:** Demonstrate the ability to assemble and deploy sufficient resources to implement the protection strategies contained in the Area Contingency Plan and the respective industry response plan;

(8.2) **Water Intake Protection:** Demonstrate the ability to quickly identify water intakes and implement the proper protection procedures from the Area Contingency Plan or develop a plan for use;

(8.3) **Wildlife Recovery and Rehabilitation:** Demonstrate the ability to quickly identify these resources at risk and implement the proper protection procedures from the Area Contingency Plan or develop a plan for use;

(8.4) **Population Protection:** Demonstrate the ability to quickly identify health hazards associated with the discharged product and the population at risk from these hazards, and implement the proper protection procedures from the Area Contingency Plan or develop a plan for use;

(9) **Disposal:** Demonstrate the ability of the spill response organization to dispose of the recovered material and contaminated debris.

(10) **Communications:** Demonstrate the ability to establish an effective communications system for the response organization;

(10.1) **Internal Communications:** Demonstrate the ability to establish an intra-organization communications system. This encompasses communications both within the administrative elements and the field units;

(10.2) **External Communications:** Demonstrate the ability to establish communications both within the administrative elements and the field units;

(11) **Transportation:** Demonstrate the ability to provide effective multi-mode transportation both for execution of the discharge and support functions;

(11.1) **Land Transportation**: Demonstrate the ability to provide effective land transportation for all elements of the response;

(11.2) **Waterborne Transportation:** Demonstrate the ability to provide effective waterborne transportation for all elements of the response;

(11.3) **Airborne Transportation:** Demonstrate the ability to provide the necessary support of all personnel associated with the response;

(12) **Personnel Support:** Demonstrate the ability to provide the necessary support of all personnel associated with the response;

(12.1) **Management:** Demonstrate the ability to provide administrative management of all personnel involved in the response. This requirement includes the ability to move personnel into or out of the response organization with established procedures;

(12.2) **Berthing:** Demonstrate the ability to provide overnight accommodations on a continuing basis for a sustained response;

(12.3) **Messing:** Demonstrate the ability to provide suitable feeding arrangements for personnel involved with the management of the response;

(12.4) **Operational/Administrative Spaces:** Demonstrate the ability to provide suitable operational and administrative spaces for personnel involved with the management of the response;

(12.5) **Emergency Procedures:** Demonstrate the ability to provide emergency services for personnel involved in the response;

(13) **Equipment Maintenance and Support:** Demonstrate the ability to maintain and support all equipment associated with the response;

(13.1) **Response Equipment:** Demonstrate the ability to provide effective maintenance and support for all response equipment;

(13.2) **Response Equipment (Support):** Demonstrate the ability to provide effective maintenance and support for all equipment that supports the response. This requirement includes communications equipment, transportation equipment, administrative equipment, etc;

(14) **Procurement:** Demonstrate the ability to establish an effective procurement system;

(14.1) **Personnel:** Demonstrate the ability to procure sufficient personnel to mount and sustain an organized response. This requirement includes ensuring that all personnel have qualifications and training required for their position within the response organization;

(14.2) **Response Equipment:** Demonstrate the ability to procure sufficient response equipment to mount and sustain an organized response;

(14.3) **Support Equipment:** Demonstrate the ability to procure sufficient support equipment to support and sustain an organized response;

(15) **Documentation:** Demonstrate the ability of the spill response organization to document all operational and support aspects of the response and provide detailed records of decisions and actions taken. These documents shall be provided to the Administrator upon request.

CA = California-specific requirements

(CA1) **Situation Unit:** Demonstrate the ability to collect, organize, and disseminate information about the current status of the spill;

(CA2) **Resource Unit:** Demonstrate the ability to maintain the status of all incident resources.

(CA3) **Environmental Unit:** Demonstrate the ability to prepare environmental data including assessments, modeling, surveillance, resources at risk, and impacts on environmentally sensitive sites.

(CA4) **Resources at Risk Technical Specialist:**
Demonstrate the ability to identify natural resources thought to be at risk from exposure to spilled oil through the gathering and analysis of known and anticipated oil movement and the location of natural, cultural and economic resources, and to prioritize a list of resources for protection based on the relative important of the resources and relative risk of exposure.

(CA5) **Liaison Officer:** Demonstrate the ability to establish and coordinate interagency communication and cooperation;

(CA6) **Dispersants:** Demonstrate the ability to evaluate the use of chemical dispersants utilizing the state and federal dispersant use policies and procedures adopted in the Region IX Regional Contingency Plan and the federal area plans, including: identify and mobilize the necessary equipment and personnel; utilize the appropriate FOSC checklists and evaluation forms (pre-approval or case-by-case dispersant use approval); activate the Regional Response Team (RRT) for case-by-case dispersant approval and provide sufficient information for a recommendation to be made by the RRT; develop all necessary documentation of actions taken; and, if appropriate, develop a dispersant use plan for inclusion in the Incident Action Plan (IAP).

(CA7) **In-situ Burning:** Demonstrate the ability to evaluate the use of in-situ burning utilizing state and federal policies and procedures as adopted in the federal area contingency plans, including: identify and mobilize the necessary equipment and personnel; establish and coordinate communications with the local air quality management districts; complete

the in-situ burning checklists and evaluation forms; activate the Regional Response Team (RRT) and provide sufficient information for are commendation to be made by the RRT; document actions taken; and, if appropriate, develop an in-situ burning plan for inclusion in the IAP.

(CA8) **Bioremediation:** Demonstrate the ability to evaluate the use of bioremediation utilizing state and federal policies and procedures as adopted in the federal area contingency plans, including: identify and mobilize the necessary equipment and personnel; develop all necessary documentation of actions taken; and, if appropriate, develop a bioremediation plan for inclusion in the IAP.

(CA9) **Waste Management:** Demonstrate the ability of the spill response organization to properly manage the recovered product and to develop a waste management plan for approval by the Unified Command. The plan will include appropriate procedures for obtaining permits and/or waivers, waste characterization, waste minimization, volumetric determination, and overall waste management and final disposition, as appropriate.

Appendix 5

PREP/ICS Interface

Note: → means interaction with another Section, Unit, Specialist, Branch, Group,
←→ means 2 or 3 way interaction

PREP 1. Notifications
Planning "P" starts with Incident/Event→ Notification→Initial Response

Facility or Vessel Contingency Plan call outs through →NRC, OES→ USCG & DFG/OSPR →FRT

OSRO name and phone #
OES Report #
NRC report #
QI name and phone #

Meetings: Incident Briefing
Who, what, when, where, approx. how much
***Notification lists to liaison**

PREP 2. Staff Mobilization
Planning "P" Initial Response

Focus is on Facility or Vessel Initial Response

Facility Response Team→ Regional Response Team→National Response Team
Vessel→ QI → Spill Management Team
OSRO's summary of mobilization procedures

Incident →RP notifies CAL EMA →CAL EMA notifies NORCOM→ NORCOM notifies the FRT (*Warden, Biologist, Oil Spill Prevention Specialist*). If significant incident the OSPR ODO will be notified→ODO notifies OSPR Administrator, managers.

ICS forms:
ICS 201
ICS 213 Resource Request (requisitions)
ICS 214 Unit Logs
Tailgate safety meetings held, site safety plan reviewed
OSPR form: DAR's to Finance

Meetings: Incident Briefing

PREP 3.1 Unified Command / ICS Command Section
Initial Response, how it happens: FRT input ←→Local Fire, ←→ Police←→ Environmental Health may be on scene before USCG or OSPR

Facilitates Incident Briefing
Fills out Initial 201, initial assessment, resources ordered, implement tactics
Monitors progress

ICS forms:
ICS 201 Incident Briefing
ICS 213 Resource Request (requisitions)
ICS 233 Open Action Tracking

Meetings:
Incident Briefing
Initial UC meeting
IC/UC Meeting: Develop/Update Objectives; set operational periods
Initial UC Command
General Staff Meeting
IAP approval
Planning meeting for the next operational period

General: press releases, briefings (works with PIO)
Meets with Agency Reps, stakeholders (works with Liaison)
UC→ ask for hotlines to be established: volunteer, public health, oiled wildlife observations, 3rd party claims

PREP 3.1.1 Federal Representation / ICS Command Section

Initial Response Usually USCG or EPA

ICS forms:
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 233 Incident Open Action Tracker

Meetings:
Incident Brief
Initial UC Brief
IC/UC Objectives Meeting
Command & General Staff Meeting
Planning Meeting
IAP Approval
Operations Brief

PREP 3.1.2 State Representation / ICS Command Section
Initial Response first on-scene is the SOSC (could be warden, scientist or OSPS)→ larger spills, ICS expands

ICS forms:
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Meetings:
Incident Brief
Initial UC Brief
IC/UC Objectives Meeting
Command & General Staff Meeting
Planning Meeting
IAP Approval Meeting
Operations Brief

PREP 3.1.3 Local Representation / ICS Command Section
Initial Response: 911 for local fire, police who may be IC or part of UC until the initial emergency is over
Could be Liaison Officer if first on scene until another Liaison Officer arrives
Or report to Liaison Officer as an Agency Reps ←→Planning, Ops, or Logistics

ICS forms:
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 233 Incident Open Action Tracker
Local Government Reimbursement forms to Finance

PREP 3.1.4 Responsible Party Representation / ICS Command Section

Initial Response: QI, internal call outs

ICS forms:
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 233 Incident Open Action Tracker

Meetings:
Incident Brief
Initial UC Brief
IC/UC Objectives Meeting
Command & General Staff Meeting
Planning Meeting
IAP Approval Meeting
Operations Brief Meeting

PREP 3.2 Response Management System
Standardized response system based on NIMS/ICS

The incident has grown beyond the initial response and requires expanded ICS positions to be filled by RP, other State, Federal and local government agencies

Name of RP's Spill Management Team_____

Capture the Time the UC was formed_____

ICS forms:
ICS 207 Organizational chart
ICS 213 Resource Request (requisitions)

PREP 3.2.1 Operations / ICS Operations Section
Coordinate or direct operations related to the implementation of the actions plans contained in respective response and contingency plans directed by UC

Chief→assign Deputy Ops Chief and Resources Unit staff (check in staff)
Assures Site Safety Plan followed
Tracks Staging Area assignments and resources

Deputy runs Section when Chief at meeting; Chief debriefs staff after meetings

Works with the Environmental Unit (CA3), Resources at Risk (CA4)
Works closely with Planning Section Chief; UC; PIO; Safety Officer; Logistics and Finance Section, other Agencies (local, USF&W)
Works closely with the Situation Unit (CA1) and Resource Tracking (CA2)
Gets hotlines posted in Section See 8.3 Wildlife Branch under Operations Section

Vessel Traffic Issues; Notice to Mariners and Salvage and Vessel Emergency Service (USCG)

ICS forms:
ICS 204 Field Assignments
ICS 213 Resource Request (requisitions)
ICS 214 Individual Log
ICS 215 Ops Worksheet
ICS 233 Incident Open Action Tracker
ICS 234 Work Analysis Matrix
OSPR form: DAR's to Finance

Meetings:
Attends Planning "P" meetings→201 brief
Command & General Staff Meeting
Tactics meeting
Planning meeting
Operations brief
Facilitates Ops Briefing

PREP 3.2.2 Planning / ICS Planning Section

Collects, evaluates, disseminates and uses information about development of incident and status of resources
Supervises/coordinates preparation of IAP→

Consolidate the various concerns of the members of the UC into joint planning recommendations and specific long-range strategic plans
Develops short-range tactical plans for the operations division
Appoints a Deputy Chief and an Environmental Unit Leader
Debriefs staff after meetings: Assures hotline numbers posted in Section

IAP approval Planning meeting for the next operational period

ICS forms:
IAP cover sheet
Executive summary
General Plan
ICS 201-2 Incident map, maps & charts, GIS maps
ICS 201-3 From Resource Unit Leader
ICS 201-4 Resource Summary
ICS 202 Incident Objectives from Situation→weather, tides, currents
ICS 203 Org List
ICS 204 Field Assignments;
ICS 205 Communications Plan- From Logistics-Communications
ICS 206 Medical Plan from Logistics Section→ Safety
ICS 207 Org chart
ICS 208 Site Safety Plan
ICS 209 Incident Status
ICS 215 Operational Planning Worksheet
ICS 230 Meeting Schedule; (posted in ICP or near meeting room)
ICS 232 Resources at Risk from Environmental Unit
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Meetings:
Planning Chief: Facilitates Initial UC meeting (if asked)
Facilitates Command/Gen Staff Meeting (if asked)
Facilitates Pre-tactics and Tactics Meeting
Facilitates Planning Meeting UC Planning "P"

CA1 Situation Unit / ICS Planning ←→Ops ←→Logistics

Suggest: Set up next to Resource Unit and Ops
It is the meeting place for information. Note: should see the Ops and Planning Chief together discussing information; UC also should be visible.

Prepare Incident Status Display:
Maps, charts, forms, weather, tides, trajectories, overflight information →GIS, NOAA, F&G

ICS forms:
ICS 202 Response Objectives→ UC
ICS 207 Organization Chart
ICS 209 Incident Summary
ICS 213 Resource Request (requisition)
ICS 214 Unit Log
ICS 217 Radio Frequency→Logistics ←→Field Operations
ICS 232 Resources at Risk←→EU
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Additional ICS forms:

Meetings:
Incident Briefing
Pre-Tactics/Tactics Meeting
Planning Meeting
Operations Brief
Might see local, state or federal representatives at following meetings: Tactics Meeting, Pre-Planning Meeting, Planning Meeting, Operations Brief

CA2 Resource Unit / ICS Planning Section
Responsible for maintaining the status of all assigned resources. Oversee check in/out and tracking of resources, status of resources and location of resources. Establishes check-in function at various locations.
Planning←→Ops←→Logistics
Prepares and displays ICS forms.
Uses T-cards or IAP software

ICS forms:
ICS 201 Org. Chart, Resource Summary
ICS 203 Organization Assignment List
ICS 204 Division Assignments
ICS 213 Resource Request (requisition)
ICS 214 Individual/Unit Log
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Meetings:
Incident Brief
Pre Tactics & Tactics Meeting
Planning Meeting
Operations Brief

CA3 Environmental Unit / ICS Planning or OPS
Addresses environmental matters & is responsible for environmental strategic assessment, modeling, surveillance, environmental monitoring, trajectories, permitting

Includes Environmental Unit Leader, SCAT Coordinator, Technical Specialist, Scientific Support Coordinator, Sampling, Resources at Risk, Weather forecast, SCAT team members, Historical/ Cultural Resources, Waste Disposal Plan, Decant MOU.

Prepares data for the Situation Unit.
Planning←→Ops ←→Situation

ICS forms:
ICS 204 Assignment List
ICS 213 Resource Request (requisition)
ICS 214 Unit Log
ICS 232 Resources at Risk Summary
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Meetings:
Incident Brief
Pre-Tactics/Tactics meeting
Planning meeting
Operations Brief

CA4 Resources at Risk Tech Spec / ICS Planning Section, Environmental Unit
Identifies resources thought to be at risk due to exposure
Assigns historic property specialist
Planning ←→Ops←→GIS ← Field
Information sources can include: ACP, GRP, local resource managers, Trustees
Coordinate with Wildlife Operations

ICS forms:
ICS 232 Resources at Risk Summary
ICS 232a Resources at Risk attachment (includes detailed instructions)
ICS 213 Resource Request (requisitions)
ICS 214 Unit/Individual Log
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Meetings:
Incident Briefing
Planning meeting
Operational Brief
Available for Press Conferences or Agency Rep meetings

PREP 3.2.3 Logistics / ICS Logistics Section
Provides the necessary support for both short-term and long-term action plans

Requests IT support ASAP
Notifies Resource Unit that Logistics Section is activated.
Agrees on ordering process; Order additional resources→work with Finance and Resources Unit←→Staging Area
Coordinates and processes requests for additional resources
Advises UC on current services and support capabilities

Receives Demobilization Plan from Planning Section and finalize it
Orders food, water, toilets
Provides sleeping facilities
Prepares the layout of incident facilities
Provides maintenance services
Provides site security

ICS forms:
ICS 205 Communications Plan (needs to go into IAP)
ICS 206 Medical Plan (needs to go into IAP)
ICS 213 Resource Request (requisitions)
ICS 214 Individual log
ICS 215 Operational Planning Worksheet ←→assist Resource Unit and Environmental Unit
ICS 221 Demobilization Plan
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Reviews Security Plan
Reviews Transportation Plan
Reviews Traffic and Vessel routing plan
Provides support to F&G vessel for fuel, food, etc.

Meetings:
Incident Briefing
UC Objectives Meeting
Tactics Meeting
Prep for Planning Meeting
Planning Meeting
Ops Briefing

PREP 3.2.4 Finance / ICS Finance Section
Responsible for all financial, administrative and cost analysis aspects of the incident

Sets up 3rd party claims number
Verifies COFR information
Sets up Index and PCA →distribute info (OSPR Only)
Agrees on cost tracking requirement and claims process→Logistics and Resource Unit
ID's Liability concerns: UC←→ legal
Briefs UC on funding issues
Keeps Resource Unit updated
Claims/compensation ←→work with PIO, Liaison to be sure claims information and hotline available.
Reimbursement to Local Gov.
Contracts with vendors
Coordinates with Logistics and Resource Unit →equipment resources and status of costs
Handles time accounting→DAR's (OSPR only)
Provides financial and cost analysis info as required
Provides financial input to demobilization plan→Planning
Determines if other state agencies and local government costs will filter through OSPR

ICS forms:
ICS 203 Assign List
ICS 207 Org Chart review
ICS 213 Resource Request (requisitions)
ICS 214 Individual Log
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Other forms, documentation:
Incident cost worksheet
Incident cost summary
Agency specific summary
Equipment Rental Forms/Agreements
All Contracts, Invoices

Planning "P" meetings:
Incident Brief
Command & General Staff meeting/brief
Planning Meeting (provide est. cost, daily cost, and claims update)
IAP Prep & approval
Ops briefing

PREP 3.2.5 Public Affairs / ICS Command Staff
Forms JIC with State, USCG or EPA, RP

Develops and releases UC approved information (Press Releases)
Informs media; conducts media briefing; prepares UC for briefings; arranges tours and other interviews/briefings; maintains current status

Develops and updates websites

Works with Liaison Officer and Resource Unit, Situation Unit
Conducts Media Briefing, General Plan

ICS forms:
ICS 209 Incident Status
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 233 Incident Open Action Tracker

Planning "P" meetings:
Incident Brief
Command & General Staff Meeting
Planning Meeting
Ops Brief

PREP 3.2.6 Safety Affairs / ICS Command Staff
Initial Response & Assessment
FRT arrives on scene, checks in with Safety who could be FD, RP, or Env. Health
Warden will request OSPR IH assistance as necessary
Safety works with UC to assure safety for citizens and response personnel
Safety works with PIO
Prepares Safety Message←→works with Planning→ Resource Unit Leader and Ops

Writes initial Site Safety Plan
ICS 208- Site Safety Plan, Incident Safety Plan; IH or SO → Command → Operations
IH assures everyone reads and signs ICS 208

Safety Plan Includes Security Plan, Medical Plan←→Logistics

ICS forms:
ICS 204 Assignment List
ICS 204 Field Assignments (ck. For safety)
ICS 202 Response Objectives (ck. For safety message)
ICS 203 Org. chart
ICS 206 Medical Plan- (from logistic)
ICS 208 Safety Plan
ICS 213 Resource Request (requisitions)
ICS 214 Unit Logics
ICS 223 Safety Message
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Planning "P" meetings:
Incident Brief
Command & General Staff Meeting
Tactics Meeting
Prep for Planning Meeting
Planning Meeting
Operations Brief

PREP 3.2.7 Legal Affairs / ICS Command Staff
Provides information on MOU/MOA's

Prepares Emergency Declarations→provides copy to Cost Recovery Unit

Provides the UC and/or SOSC w/suitable legal advice and assistance

ICS forms:
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

CA5 Liaison Officer / ICS Command Staff
Works with local government reps, stakeholders, elected officials
Point of contact for Agency Representatives, maintain list of assisting and cooperating agencies and Agency reps
Assures daily check-in of all above
Keeps agencies informed of incident status
Requests web page for agency reps
Assures concerns of agency reps, stakeholders are addressed
Ensures agencies forms are available for reimbursement
Coordinates Agency Reps Meetings (ARMs)

ICS forms:
Notification Status Reports
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Meetings:
Incident Briefing
Command & General Staff Meeting
Planning Meeting
Operations Brief
Agency Reps Meeting

PREP 4. Source Control / ICS Operations
Ability of the response organization to control and stop discharge at source
Usually RP and OSRO and initiated simultaneously with Notification

Initial response/ on-going with problem

Emergency shut down procedures→ oil spill response plan and vessel/facility Standard Operating Procedures and can include Temporary Repairs

Refer to ACP
Regional Contingency Plan

ICS forms:
ICS 201 Incident map, current actions, org chart, resource summary
ICS 208 Safety
ICS 214 Unit Log
ICS 213 Resource Request (requisitions)
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Meetings:
Operations Briefing

PREP 4.1 Vessel Emergency Services (Salvage) / ICS Operations

ICS Operations←→Resource Unit←→Logistics←→Planning

Coordinates and directs salvage/source control activities under the Emergency Response Branch Manager

NOTE: Refer to USCG Maritime Transportation System Recovery Unit and Potential Places of Refuge

Reference materials can include:
Salvage Plan (ACP)
Vessel Response Plan
Regional Contingency Plan

ICS forms:
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Meetings:
Planning "P" Operations Briefing

PREP 4.2 Firefighting / ICS Operations
Initial Response
USCG Plan
Regional Contingency Plan

ICS forms:
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 233 Incident Open Action Tracker
OSPR Form: DAR's to Finance

Meetings:
Operations Briefing

PREP 4.3 Lightering / ICS Operations
Planning←→Ops←→Resource Unit←→Logistics

USCG- Regional Contingency Plan
Vessel Contingency Plan
ACP

ICS forms:
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 233 Incident Open Action Tracker
OSPR Forms: DAR's to Finance

Meetings:
Tactics Meeting
Planning Meeting
Operations Briefing

PREP 4.4 Other Vessel Emergency Services Equipment and Devices
NOTE: Refer to USCG Maritime Transportation System Recovery Unit
Tug Escort
Towing

ICS Planning Section->Ops/ Logistical Support

PREP 5. Assessment / ICS Operations Section
Operations Section ←→Planning Section
Planning "P"- Execute Plan and Assess Progress
On-Going with Operations←→ Information from Field Observers, SCAT, responder debriefs, OSRO's, Stakeholders ←→back to Planning, Resources, Situation, Logistics

Ability to provide initial assessment of the discharge and provide continuing assessments of the effectiveness of the tactical operations; adjust to current operations

During an exercise information may come from Truth or Control.

ICS forms:
ICS 201 Incident map, current actions, resource summary,
ICS 202 Response objectives
ICS 208 Site safety
ICS 213 Resource Request (requisitions)
ICS 233 Incident Open Action Tracker

Include:

Weather report
Spill Report
Notification Report
General Incident Report
OSPR DARS to Finance

Meetings:
Initial Briefing
Tactics Meeting
Planning Meeting

PREP 6. Containment / ICS Operations Section
Operations ←→ OSRO's←→Situation←→Planning
Initial Response
Contain the discharge at the source or in various locations for recovery operations.

Additional response information located in Area Plan
Emergency Plans, Vessel, Facility Oil Spill Response Plans, Standard Operating Procedures

ICS forms:
ICS 213 Resource Request (requisitions)
ICS 233 Incident Open Action Tracker
OSPR forms: DAR's to Finance

Meetings:
Initial Briefing
Tactics Meeting
Planning Meeting

PREP 7. Recovery / ICS Operations Section

Demonstrates the ability of the OSRO's to recover, mitigate and remove discharged product
Includes dispersant use, in-situ burn use, bioremediation
Sources include: ACP Operations & Planning Sections

Regional Response Plan
RRT

ICS forms:
ICS 213 Resource Request (requisitions)
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Meetings:
Tactics Meeting
Command briefings
General Staff briefings

PREP 7.1 On-water Recovery / ICS Operations Section
Manages on-water recovery operations in compliance with existing IAP instructions

OSRO's involved
Uses ACP to identify collection sites
Uses Facility/vessel plan

On-water recovery operations initial response→ Ops←→Planning, Situation Unit←→ Ops→Field back to ←→Situation
Field/Staging Area/Truth: Assemble and deploy on-water resources

ICS forms:
ICS 204 Field Assignments
ICS 208 Safety Plan
ICS 209 Incident Status Summary
ICS 211 Personnel Check-in
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 215 Operations Planning Worksheet
ICS 233 Incident Open Action Tracker
OSPR Form: DAR's to Finance

Meetings:
Tactics Meeting
Command briefings
General Staff briefings

PREP 7.2 Shore-Based Recovery / ICS Operations Section
Planning Section←→Ops manages shore-side clean up operations.

Assembles and deploy shore side SCAT teams for recommendations←→back to Planning and Ops
Information back to the Situation Unit

ICS forms:
ICS 204 Field Assignments
ICS 208 Safety Plan
ICS 209 Incident Status Summary
ICS 211 Personnel Check-in
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 215 Operations Planning Worksheet
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Meetings:
Tactics Meeting
Command briefings
General Staff briefings

CA6 Dispersants / ICS Planning and Command Sections
Planning ←→Technical Specialist ←→RRT←→Ops←→works closely with Environmental Unit, On-Water Ops and Air Ops

ICS forms:
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Meetings:
Command Meeting
Tactics Meeting
Planning Meeting
Operations Briefing

CA7 In-situ Burning/ ICS Planning and Command Sections
Planning ←→Technical Specialist ←→RRT←→Ops←→works closely with Environmental Unit, On-Water Ops and Air Ops

Responsible for all aspects of an in-situ burn operation
Works with Air Ops

ICS forms:
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Meetings:
Command Meeting
Tactics Meeting
Planning Meeting
Operations Briefing

CA8 Bioremediation / ICS Planning and Command Sections

Planning ←→Technical Specialist ←→RRT←→Ops←→works closely with Environmental Unit, On-Water Ops and Air Ops

ICS forms:
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Meetings:
Command Meeting
Tactics Meeting
Planning Meeting
Operations Briefing

PREP 8 Protection / ICS Operations Section
The ability of the spill response organization to protect environmentally and economically sensitive areas as identified in the ACP and respective industry response plan

Initial Response →Ops←→Planning←→ Situation←→Environmental Unit←→ Resource Unit←→Logistics Field ←→Liaison Officer
Ongoing activity
NOTE: for culturally sensitive areas, have the Liaison Officer contact the Native American Heritage Commission

ICS forms:
ICS 204 Group/division Assignment List
ICS 211 Personnel Check in
ICS 213 Resource Request (requisitions)
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Meetings:
Initial Assessment
Incident Brief
Planning Meeting

PREP 8.1 Protective Booming / ICS Operations Section
Initial response→Ops←→Planning ←→Environmental Unit ←→Resource Unit Leader
The ability to assemble and deploy sufficient resources to implement protection strategies contained in the ACP
Prioritize environmentally protected sites then economic sites

Facility owned equipment
OSRO owned equipment

References, resource contacts:
ACP
GIS
OSRO
Vessel or Facility Oil Spill Contingency Plan

ICS forms:
ICS 201-4 Resource Summary
ICS 213 Resource Request (requisitions)
ICS 232 Resources at Risk
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Meetings:

Incident Briefing
Command and General Staff
Tactics Meeting
Planning Meeting
Ops Briefing

PREP 8.2 Water Intake Protection / ICS Operations Section
The ability to quickly identify water intakes and implement the proper protection procedures from the ACP or develop a plan for use

ICS Initial Response→Ops←→Planning

References:
Facility Oil Spill Contingency Plan

Work closely with:
Liaison←→Local Government Representatives; other industries in area

ICS forms:
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Meetings:
Tactics Meeting
Planning Meeting
Operations Briefing

PREP 8.4 Population Protection
Initial response → ops←→planning←→on-going
Ability to quickly identify health hazards associated with the discharge and implement proper protection procedures from the ACP, Local Contingency Plan, Geographic Response Plan (Inland)

Includes Shelter-in-place, evacuation, health advisories

Additional information flow:
Liaison←→Local Government Representatives; Public Health; CHP, Police, Fire, Air Board, Water Quality
Liaison←→ PIO ←→media

Keep Command Staff informed

ICS forms:
ICS 202
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log

ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Meetings:

PREP 9. Disposal / ICS Planning Section

Planning Section ←→Operations Section
Coordinate the on-site activities of personnel engaged in collecting, storing, transporting, segregating and disposing of waste materials

Works with ←→Protection & Recovery←→Ops←→field crews
Appropriate hazardous waste laws and regulations→MOA- Waste Mgmt Board

Disposal Plan- ACP (under Planning as technical specialist)

Part of the IAP- RP should have some type of generic Waste Form
Equipment Acquisition →Resources←→Logistics

ICS forms:
ICS 209 Status Summary
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Meetings:

CA9 Waste Management / ICS Operations Section
Operations Section ←→ Waste disposal unit
Details collection, sampling, monitoring, temporary storage, recycling, and disposal of oily waste

Includes:
Quantification part of system
OSPS- technical specialist under Operations ←→info to Situation Unit leader

Look for Job Aid for waste specialist

Part of the IAP- RP should have some type of generic Waste Form

ICS forms:
ICS 209 Incident Status Summary
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 233 Incident Open Action Tracker

OSPR form: DAR's to Finance

Meetings:
Planning
Ops Brief

PREP 10. Communications / ICS Logistics Section
Initial Response→Logistics Section
Establish effective communications systems for the spill response organization
Logistics←→Planning ←→Ops←→Situation Unit Leader ←→ Field Divisions/Groups (or Truth)

PREP 10.1 Internal Communications / ICS Logistics Section
Logistics→Communication Unit ←→Planning←→Situation ←→Field Divisions/Groups (or Truth)
Intra-organization communications system
Covers communications at the command post and between command posts and deployed resources

ICS forms:
ICS 205 Communications Plan
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 216 Radio Requirement
ICS 217- Radio Frequency Assignments Radio
ICS 233- Incident Open Action Tracker
OSPR DARS to Finance

Meetings: list all meetings

PREP 10.2 External Communications / ICS Logistics Section
Response communications both within the response organization and other entities e.g. RRT, claimants, media, regional or HQ agency offices, non-governmental organizations, local government

Logistics ←→ establish Internet web site info for general public and government agencies with Liaison and IT

Logistics ←→ Finance, Liaison and PIO/JIC - set up hot line numbers for wildlife, volunteers, public health, claims

Should be requested from UC ASAP during Initial Response and on-going

ICS forms:
ICS 205 Communications Plan
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 216 Radio Requirement

ICS 217 Radio Frequency Assignments Radio
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Meetings:

PREP 11. Transportation / ICS Logistics Section
Ability to provide effective multi-mode transportation for execution of the discharge and support functions

PREP 11.1 Land Transportation / ICS Logistics Section and Situation Unit
Ability to provide land transportation for all elements of the response.

PREP 11.2 Waterborne Transportation / ICS Logistics Section and Situation Unit-
Ability to provide waterborne transportation for all elements of the response (e.g., DFG boat)

PREP 11.3 Airborne Transportation / ICS Operations
Operations←→Situation←→Logistics
Coordinates and schedules air operations intended to locate, observe, track, conduct surveillance
Supports dispersant applications, in-situ burning, remote sensing

ICS forms:
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Meetings:
Tactics Meeting
Planning Meeting
Operations Briefing

PREP 12. Personnel Support / ICS Logistics Section
Ability to provide necessary support personnel associated with the response.
OSPR-Chief of Operations provides timely support to field operations.
(SOSC request more help from OSPR chief of operations)

PREP 12.1 Management / ICS Logistics Section
Logistics←→Situation←→Resource
The ability to provide administrative management of all personnel involved in the response
This requirement includes the ability to move personnel into or out of the response organization with established procedures

ICS forms:
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 221 Demob checkout w/plan
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Meetings:
Logistics Section Chief, all the meetings

PREP 12.2 Berthing / ICS Logistic Section, Facilities Unit Leader
Facilities Unit Leader←→Finance
Ability to provide overnight accommodations on a continuing basis for a sustained response

ICS forms:
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Meetings:
General Staff Meeting

PREP 12.3 Messing- ICS Logistics Section, Food Unit Leader
Logistics/Food←→Finance
Ability to provide suitable feeding arrangement for personnel involved with the management of the response

ICS forms:
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Meetings:
General Staff Meeting

PREP 12.4 Operational/Admin spaces / ICS Logistics Section, Facilities Unit Leader

Ability to provide suitable operational and administrative spaces for personnel involved with the management of the response
ACP, or Industries Facility
Space for the GIS unit- tables and wall space

ICS forms:
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Meetings:
General Staff Meeting

PREP 12.5 Emergency Procedures / ICS Logistics Section
Logistics←→Medical Unit Leader
Ability to provide emergency services for personnel involved in the response

ICS forms:
ICS 206 Medical plan prepared medical unit leader and provided to Safety officer
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Meetings:
General Staff Meeting

PREP 13. Equipment Maintenance & Support / ICS Logistics Section
Logistics, Support Branch←→Equipment Manager
Ability to maintain and support all equipment associated with the response

ICS forms:
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Meetings:
General Staff

PREP 13.1 Response Equipment / ICS Logistics Section
Ability to provide effective maintenance and support for all response equipment

ICS forms:
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Meetings:
General Staff

PREP 13.2 Response Equipment (Support) / ICS Logistics Section
Ability to provide effective maintenance and support for all response equipment
This includes communications, transportation and administrative equipment

ICS forms:
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Meetings:
General Staff

PREP 14. Procurement / ICS Finance Section
Demonstrate the ability to establish an effective procurement system to procure sufficient response and support equipment

Establish procedures for ordering resources (purchasing plan) then to all the Sections and Branches

ICS forms:
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Meetings:
General Staff

PREP 14.1 Personnel / ICS Finance
Finance←→Logistics Section
Ability to procure sufficient personnel to mount and sustain an organized response
Insuring that all personnel have qualifications and training for their positions within the response organization
Checks Hazwoper cards

ICS forms:
ICS 203 Assignment List
ICS 207 Org Chart
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Meetings:
General Staff

PREP 14.2 Response Equipment / ICS Finance
Finance←→Logistics
Ability to procure sufficient response equipment to mount and sustain an organized response
OSRO
IT support

ICS forms:
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Meetings:
General Staff

PREP 14.3 Support Equipment / ICS Finance Section

Finance←→Logistics
Procure sufficient support equipment to support and sustained an organized response
Working with Resources Unit←→field

ICS forms:
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

Meetings:
Logistical Section Meetings
Incident Brief
Ops Brief

PREP 15. Documentation / ICS Planning Section→Situation Unit
Planning←→Situation
Ability of the spill response organization to document all operational and support aspects of the response and provide detailed records of decisions and actions taken

ICS forms:
ICS 213 Resource Request (requisitions)
ICS 214 Unit Log
ICS 233 Incident Open Action Tracker
OSPR form: DAR's to Finance

All ICS forms, IAP's
Maps, Charts, meeting notes, faxes, e-mails

Includes copies of DAR, fact sheets, press releases
All response related documents

Meetings:
All meetings as requested

Appendix 6

Master Scenario Events List

MSEL

Scenario Event Time	Inject Number	Category Control: e.g. JIC, Liaison	Event	Predicted outcome	Actual outcome
0600	**1**	**Control to whoever**	**Security guard discovers spill**	**Callouts to QI, NRC, OES, 911**	

Appendix 7

OSPR Observation Log and Evaluation Questions

Sample OSPR Observation Log

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	PREP3.2.1, 3.2.2, CA1,CA2,CA3-Tactics Meeting	Discuss and document strategies, tactics, contingencies; draft ICS 215	Task completed but section struggled.	More specific training needed; e.g. Section Chief training
	PREP 6,7, 8.1, 10, 11.2,	Protect sensitive sites	Strategy to protect sensitive site A-121 did not work for high tide, after rain conditions.	Area Committee needs to discuss or incorporate information into ACP, e.g. information about sensitive sites.
	PREP 1	Complete Notification per 24-hr plan	QI name and phone number not accurate.	Plan holders plan needs to be updated.
	PREP 3.2.5	Form a JIC, conduct a press conference	Additional PIO's were needed.	Train more staff to help the PIO's or do outreach with Local Government Reps and see if they have any trained PIO's available to help in the JIC
	CA5	Liaison Officers conduct an Agency Representative Meeting (ARM)	Additional Liaison Officers were needed. Local Gov reps need more training	Train additional Liaison Officers. Provide training opportunities for Local Government Representatives.

Notification, Staff Mobilization and Initial Response Questions
Leg of Planning "P" Objectives

Date: **Plan #** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	1 Notifications **Leg of ICS Planning "P"**	**Calls within 30 min:** **OES report #** _____ **NRC report #**_____ **QI name**_____ **OSRO name**_____ **Name and number of QI correct?** _____		

Notification, Staff Mobilization and Initial Response Questions
Leg of Planning "P" Objectives

Date: **Plan#** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	2 Staff Mobilization **Leg of Planning "P" Initial Response**	**1. Name of SMT_____** **2. Arrival Times?** **3. Sufficient Staff available to respond?** **4. Initial Assessment, ICS 201 used?** **5. Clearly understand what actions had been taken?** **6. Objectives and Priorities clearly identified?** **7. Safety discussed?** **8. Tailgate Safety Meeting?** **9. Vessel or Facility Response Plan used for initial response"** **10. Sign-in Sheets?** **11. Check in for Field Ops?** **12. Staff bring enough supplies for 24-hrs?**		

Command Staff Questions

Date: **Plan #** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	3.1 Unified Command ICS Command Section	1. Time UC formed Who formed UC? 2. Speak as one voice thru JIC? 3. Facilitates Incident Briefing-Initial 201? 4. Develop/Update Objectives, priorities, strategies? 5. Discuss Safety? 6. Est. Meeting Times? 7. UC set operational periods? 8. UC set meeting times? 9. UC→asks for hotlines to be established: volunteer, public health, oiled wildlife observation? 10. Request websites for public elected officials/agencies? 11. IAP approved? 12. Demobilization of incident ordered?		

		13. ICS 233 Incident Open Action tracker used to review/add action items? **14. Assure Status Summary completed and forwarded to appropriate higher authority?**		

Command Staff Questions

Date: **Plan#** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	3.1.1 Federal Representa-tion ICS Command Section	1. USCG or EPA work well with other UC representatives? 2. Consolidate concerns and interest of other members of UC into one unified strategic plan with tactical operations?		

Command Staff Questions

Date: **Plan#** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	3.1.2 State Representa-tion ICS Command Section	1. Initial Response first on-scene is the SOSC. 2. Did SOSC request additional resources as needed? 3. Did SOSC work well with the other IC's?		

Command Staff Questions

Date: **Plan#** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	3.1.3 Local Representa-tion ICS Command Section	1. Initial response Fire Dept until emergency phase over. 2. Did the UC discuss local concerns and the need to work with local agencies?		

Command Staff Questions

Date: **Plan#** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	3.1.4 Responsible Party Representa-tion ICS Command Section	1. Initial Response-First on-scene 2. QI makes all proper callouts? 3. Work well with other UC representatives? 4. Consolidate concerns and interest of other members of UC into one unified strategic plan with tactical operations?		

Operations Section Questions

Date: **Plan#** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	3.2 Response Management System	1. Did the response organization operate within the frame-work identified within their respective plans?		

Operations Section Questions

Date: **Plan#** **Name of Drill/Incident**

Time	PREP Objective#	Expected Outcome	Observation	Recommendation
	3.2.1 Operations ICS Operations Section	1. Was Ops able to coordinate and direct operations implementing the IAP? 2. Did the Ops Section Chief do an effective job of keeping the UC informed of the nature and status of tactical response operations? Was feedback provided to the ICP in a timely manner? 3. Did the Ops Section Chief do an effective job of identifying the location of and managing the available resources checked in at the staging areas? 4. Were tactical response resources properly checked in at the incident scene? 5. Were copies of the check-in lists (ICS 211) routinely forwarded to the UC? 6. Were response personnel adequately briefed before initiating response operations?		

		7. Did the Ops Section Chief use the Field Report: Status of Resources to maintain information on the status of response resources? **8. Did Operations provide timely field reports to the Situation Unit?** **9. Were Operations and Planning able to communicate and share information?** **10. Did Operations and Planning have adequate field information to present at the UC meetings?** **11. Did Operations and Planning communicate and establish times for field responders to call in and give updates?**		

Planning Section Questions

Date: **Plan#** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	3.2.2 Planning ICS Planning Section	1. Were Operations and Planning able to communicate and share information? 2. Were IAP's completed for all operational periods? 3. Did Planning forward a copy of the IAP to Documentation? 4. At what point was Planning able to "catch-up" to Operations and actually drive Operations activities? (Was the IAP implemented?) 5. Did Planning have adequate field information to present at the UC Meetings? 6. Did Operations and Planning communicate and establish times for field responders to call in and give updates? 7. Was Safety included in the Planning Meetings?		

Logistics Section Questions

Date: **Plan#** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	3.2.3 Logistics ICS Logistics Section	1. Did the Logistics Unit Leader (UL) attend a briefing from the UC? Did the Unit provide accurate information to Resources and Finance? 2. Was the UL able to determine additional resources needed to support the proposed IAP? 3. Did the Logistics Deputy attend the Planning Meetings? 4. Did Logistics confirm the status of resources? 5. Did the UL keep the Resource Unit updated about resources that were due to arrive on scene? 6. Did the UL know where the Staging Areas were located? 7. Did the UL keep the UC updated and current on any problems and/or accomplishments? 8. Did the UL coordinate activities with finance?		

Finance Section Questions

Date: **Plan#** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	3.2.4 Finance ICS Finance Section	1. Did the Section Chief attend an initial briefing from the UC? 2. Did the Section Chief brief section personnel on their roles, responsibilities, and expectations? 3. Did the Section Chief attend the Planning meetings to provide support to the planning process? Describe support. 4. Did the Section keep track of expenses? 5. Was a claims phone number established? 6. Did the Section provide the PIO's and Liaison Officer a proper phone number of claims? 7. Did the Section track and produce cost estimates and funding needs for the next IAP? 8. Did the Section track and produce cost estimates of expenditures as incurred?		

Command Staff, Public Information Officer Questions

Date: **Plan#** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	3.2.5 Public Affairs ICS Command Section	1. Was there a lead Information Officer? 2. Was communication among the Coast Guard, OSPR and the RP good? 3. Were PIO's briefed with appropriate and clear directions by the UC? 4. Were the PIO's able to locate the Section Chiefs/Unit Leaders and the UC, and gather information needed to accommodate their needs? 5. Were all media/ press releases approved by the UC? 6. Was a public health advisory developed with approval from Safety? 7. Was information forwarded to the OSPR Operations Center?		

Command Staff, Safety Officer

Date: **Plan#** **Name of Drill/Incident:**

Time	PREP Objective#	Expected Outcome	Observation	Recommendation
	3.2.6 Safety Affairs **ICS Command Section**	1. **Were hazards and unsafe conditions identified?** **2. Was initial site characterization performed by first responders?** **3. Was a site map drawn?** **4. Was air monitoring equipment used? Proper PPE?** **5. Was the Site Safety Plan included in the IAP and submitted with signatures of participants?** **6. Was there a procedure developed to assure that all site workers were Hazwoper trained?** **7. Was continuing air monitoring included in the SSP?** **8. Was Safety included in the Planning meetings?** **9. Was Safety included for input on any public health advisory issues?**		

		10. Was a procedure developed to investigate accidents that occurred within the incident area? **11. Was the communication among OSPR, USCG, local and RP safety personnel coordinated?**		

Command Staff, Legal Specialist Questions				
Date:	**Plan#**	**Name of Drill/Incident:**		
Time	**PREP Objective #**	**Expected Outcome**	**Observation**	**Recommendation**
	3.2.7 Legal Affairs **ICS Command Section / Planning**	**1. Did the drill scenario contain questions on California law which required advice to the IC?** **2. Did the RP utilize a California lawyer or a lawyer with California legal expertise?** **3. Did the Legal Officer review press releases, contracts etc.?**		

Operations Section Questions				
Date	**Plan#**	**Name of Drill/Incident:**		
Time	**PREP Objective#**	**Expected Outcome**	**Observation**	**Recommendation**
	4 Source Control **ICS Operations Section**	**1. Emergency shutdown , time of shutdown. Location of source.** **2. Was facility or OSPRO equipment used?** **3. Name of OSRO?**		

Operations Section Questions

Date: **Plan#** **Name of Drill/Incident:**

Time	PREP Objective	Expected Outcome	Observation	Recommendation
	4.1 Vessel Emergency Services (Salvage) **ICS Operations, Resource Unit, Logistics, Planning**	**1.Were the contracted vessel emergency services notified in a timely manner?** **2. Were the contact names and numbers correct? Note names on the form.** **3. Was equipment listed in the plan available?** **4. What actual equipment was deployed?** **5. Were there sufficient personnel to operate the equipment?**		

Operations Section Questions

Date: **Plan#** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	4.2 Firefighting **Initial Response ICS Operations**	**1. Were firefighting resources notified in a timely manner?** **2. Were the contact names and numbers correct? Note company names on the form.** **3. Was equipment listed in the plan available?** **4. What actual equipment was deployed?** **5. Were there sufficient personnel to operate the equipment?**		

Operations Section Questions

Date: **Plan#** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	4.3 Lightering ICS Planning→Ops →Resource Unit→ Logistics→ Field Ops	1. Were lightering resources notified in a timely manner? 2. Were the contact names and numbers correct? Note company names on the form. 3. Was equipment listed in the plan available? 4. What actual equipment was deployed? 5. Were there sufficient personnel to operate the equipment?		

Operations Section Questions				
Date:	**Plan#**	**Name of Drill/Incident:**		
Time	**PREP Objective #**	**Expected Outcome**	**Observation**	**Recommendation**
	4.4 Other Vessel Emergency Services Equipment and Devices **ICS Planning Section→Ops/ Logistical Support**	**1. Were other resources notified in a timely manner?** **2. Were the contact names and numbers correct? Note company names on the form.** **3. Was equipment listed in the plan available?** **4. What actual equipment was deployed? Were there sufficient personnel to operate the equipment?**		

Drills and Exercise Evaluation Guidance

Notification, Staff Mobilization and Initial Response Questions
Leg of Planning "P" Objectives

Date: **Plan#** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	5 Assessment Planning "P" Execute Plan and Assess Progress **ICS Operations→ Info from Field Observers, SCAT, OSRO's, Stakeholder, Planning, Resources, Situation, Logistics**	**1. Was there a clear assessment about the quantity and size of the spill?** **2. Did the initial response include protecting the environment (imple-ment the ACP/GRP)?**		

Operations Section Questions

Date: **Plan#** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	6 Containment **ICS Operations→ OSRO's→ Situation→ Planning**	**Facility or vessel response equip-ment deployed** **Time** **OSRO arrived on Scene** **OSRO have sufficient equip-ment and staff Information to Situation/Resources Units**		

Operations Section Questions				
Date:	**Plan#**	**Name of Drill/Incident:**		
Time	**PREP Objective #**	**Expected Outcome**	**Observation**	**Recommendation**
	7 Recovery **ICS Operations (See Objective 9 Disposal)**	**Quantification initiated** **Storage capacity for recovery** **Location of storage**		

Operations Section Questions				
Date:	**Plan#**	**Name of Drill/Incident:**		
Time	**PREP Objective #**	**Expected Outcome**	**Observation**	**Recommendation**
	7.1 On-water Operations **ICS Operations Section**	**1. Were on-water operations communicated to the Planning Section in a timely manner?** **2. Were the boats, skimmers, planes etc. on the same channel and able to communicate with each other?**		

Operations Section Questions

Date: **Plan#** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	7.2 Shore-Based Recovery **ICS Operations Section**	**1. Were shore based operations communicated to the Incident Command Post in a timely manner?** **2. Were the responders able to communicate with each other?** **3. Were the locations of resources communicated to the Resource Tracking?** **4. Were pre-designated staging areas used?** **5. Were shoreline areas identified and typed?** **6. Was new incident information posted in a timely manner?**		

Operation Section Questions

Date: **Plan#** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	8 Protection **ICS Operations Section**	**Protection of populations, resources, intakes, sensitive sites, economic sites, recreational etc.**		

Operations Section Questions

Date: **Plan#** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	8.1 Protective Booming **ICS Operations Section: Initial Response →Ops →Planning → Resource Unit**	**1. Was the ACP used to identify protective booming strategies and locations?** **2. Did the strategies work? Do the ACP strategies need to be changed? How?**		

Operations Section Questions

Date: **Plan#** **Name of Drill/Incident:**

Time	PREP Objective#	Expected Outcome	Observation	Recommendation
	8.2 Water Intake Protection **ICS Operations Section**	**1. Was the Plan holder's Oil Spill Contingency plan used to quickly identify water intakes and implement the proper protection procedures?** **2. Was the ACP used to quickly identify water intakes and implement the proper protection procedures?** **3. Were any local governments and/or industries contacted? Were they able to supply any resources? If so, what?**		

Operations Section Questions				
Date:	**Plan#**	**Name of Drill/Incident:**		
Time	**PREP Objective #**	**Expected Outcome**	**Observation**	**Recommendation**
	8.3 Wildlife Recovery & Rehabilitation **ICS Planning Section**	**1. Did the Wildlife Ops Branch Director keep the UC apprised of wildlife resources at risk and wildlife impacts?** **2. Did the Branch Director prepare the wildlife element using the ACP and/or the Ca Wildlife Plan for the daily IAP?** **3. Did the Wildlife Ops Branch Director brief the Planning Section Chief on the results of wildlife reconnaissance (aerial surveys) and identify the location of wildlife resources at risk?** **4. Did the Wildlife Ops Branch Director update the Situation Unit on wildlife impacts?** **5. Did the Branch Director consider a wildlife hazing strategy to deter wildlife from the spill area?** **6. Did the Branch Director orchestrate systematic**		

		standardized search for and collection and transportation of oiled wildlife?		

Notification, Staff Mobilization and Initial Response Questions Leg of Planning "P" Objectives				
Date:	**Plan#**	**Name of Drill/Incident:**		
Time	**PREP Objective#**	**Expected Outcome**	**Observation**	**Recommendation**
	8.4 Population Protection **Initial Response ICS→Ops**	**1. Was the local Environmental Health Department(s) contacted?** **2. Was the communications between Safety and the local Health established?**		

Planning Section Questions				
Date:	**Plan#**	**Name of Drill/Incident**		
Time	**PREP Objective#**	**Expected Outcome**	**Observation**	**Recommendation**
	9 Disposal **ICS Planning Section** **(See CA 9)**	**1. Were waste management issues identified early on?** **2. Was a UC-approved recovered waste storage, quantification and disposal plan competed?** **3. Was the plan incorporated into the IAP?** **4. Were temporary storage/collection sites identified? Was site security addressed?** **5. Were all local and state agencies requiring permits identified?** **6. Was the process of obtaining "emergency permits" timely?** **7. Was a waste handling and/or disposal trans-portation company identified (note the name(s) on the form).**		

Logistics Section Questions

Date: **Plan #** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	10 Communications ICS Initial Response Logistics Section	1. Did the communications unit manage the implementation on the incident communications plan? ICS 205		

Logistics Section Questions

Date: **Plan #** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	10.1 Internal Communications **ICS Logistics**	**1. Was a communications plan established?** **2. Did the plan include the proper radio frequencies, pager numbers and numbers to communicate with the field teams?** **3. Were field responders from different organizations/agencies able to communicate by radio and/or telephone?** **4. Were radios on the same channel?** **5. Were there enough radios, phones for the field staff to communicate with the Command Post?** **6. Were there sufficient phones and faxes for communication between the ICP and the Ops Center?** **7. Were field responders actually able to talk to the ICP Operations and Planning Leaders on the phones?**		

Logistics Section Questions

Date: **Plan#** **Name of Drill/Incident:**

Time	PREP Objective#	Expected Outcome	Observation	Recommendation
	10.2 External Communications **ICS Logistics Section**	**1. Were ICP and OSPR Operations Center communications established?** **2. Were communications established between the ICP and other agencies/stakeholders?**		

Logistics Section Questions

Date: **Plan#** **Name of Drill/Incident:**

Time	PREP Objective#	Expected Outcome	Observation	Recommendation
	11 Transportation **ICS Logistics Section and Operations Section**	**1. Develop plan to provide ground, vessel, and air craft support.** **2. Develop plan for short and long term maintenance…eg equp breakdown.** **3. Identify PPOR.-→EU and Local Gov.****** **4. If salvage, firefighting or lightering, see PREP4**		

Logistics Section Questions

Date: **Plan #** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	11.1 Land Transportation **ICS Logistics Section**	**1. Were personnel and equipment transported effectively to the response location and/or staging site?**		

Logistics Section Questions				
Date:	**Plan #**	**Name of Drill/Incident:**		
Time	**PREP Objective #**	**Expected Outcome**	**Observation**	**Recommendation**
	11.2 Waterborne Transportation **ICS Logistics**	**1. Were personnel and equipment transported effectively to the response location and/or staging areas?**		

Operations Section Questions

Date: **Plan#** **Name of Drill/incident:**

Time	PREP Objective#	Expected Outcome	Observation\	Recommendation
	11.3 Airborne Transportation ICS Operations and Logistics (See CA6)	**1. Did the RP go to Logistics to arrange appropriate air-craft resources? Flights and appropriate staff scheduled for the following over-flights?** **Wildlife observations?** **Impacted areas vs. trajectories?** **Dispersants?**		

Logistics Section Questions

Date: **Plan #** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	12 Personnel Support ICS Logistics→ Section→ Resources	1. Was someone assigned to track personnel in and out of the Command Post and Staging Areas? 2. Was an ICS/UC organizational chart completed with all personnel assigned to a section within one hour of staff mobilization and dis-played prominently in the Command Post and distributed to the staging area? 3. Were replacement personnel identified? 4. Were shifts set up? If so, note the times and hours of each shift. 5. Did the Situation Unit maintain status boards to track personnel resources? If not, what unit had that responsibility? 6. Was security adequate? 7. Were there regular break times?		

Logistics Section Questions

Date: **Plan #** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	12.1 Management **ICS Logistics Section**	**1. Did management demonstrate the ability to provide management of all personnel involved in the response?** **2. Were established pro-ceedures used to move personnel into or out of the response organization/command post?** **3. Was an ICS/UCS organizational chart completed and displayed prominently in the ICP?** **4. Were adequate pools of personnel available for service, protection and cleanup?** **5. Were shifts setup?** **6. Did the Situation Unit maintain status boards to track personnel resources?** **7. Was security adequate?** **8. Were there regular break times?**		

Logistics Section Questions

Date: **Plan #** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	12.2 Berthing	1. Were local area hotels, motels and inns contacted for accommodating workers during their rest periods? 2. Were most workers put in the same accommodation location so mass or pool transportation could be arranged to get them to and from the job site for their next shift period? Note the type of transportation provided.		

Logistics Section Questions

Date: **Plan #** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	12.3 Messing **ICS Logistics → Finance**	**1. Were location catering companies/restaurants contacted?** **Note name(s) and Time(s) contacted.** **2. Were the hotels where staff is berthed contacted so that pre-shift and post-shift meals could be arranged?** **3. Were sanitary facilities, water and provisions sufficient for the staff involved?** **4. At the Command Post? At the staging areas?** **5. Were messing areas separate from work areas at the response site?** **6. Were special dietary needs provided for, as applicable?**		

Logistics Section Questions				
Date:	**Plan#**	**Name of Drill/Incident:**		
Time	**PREP Objective#**	**Expected Outcome**	**Observation**	**Recommendation**
	12.4 Operational/Admin Space **ICS Logistics Section**	**1. Was the Command Post large enough to contain staff and support equipment?** **2. If not, was a strategy established to move to a larger facility?** **3. Were spaces designated for the different ICS functions?** **4. Were meeting rooms conveniently located?** **5. Were there enough electrical/network outlets?** **6. Telephone outlets?** **7. Copy machines?** **8. Computers?** **9. Printers?** **10. Fax machines?** **11. GIS equipment?** **12. Documentation supplies (pens, pencils, etc.)?** **13. Sufficient copies of the plan?**		

Logistics Section Questions

Date: **Plan#** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	12.5 Emergency Procedures **ICS Logistics →Medical Unit**	**1. Were emergency services for all staff provided for in the Site Safety Plan? If not, where?** **2. Were area hospitals identified and contacted to be on standby for response- related injuries/illnesses?** **3. Were local fire depart-ments and police alerted in order to control traffic and access impacted areas?**		

Logistics Section Questions

Date: **Plan#** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	13 Equipment Maintenance & Support **ICS Logistics Section** **13.1 Response Equipment** **ICS Logistics Section** **13.2 Response Equipment Support** **ICS Logistics Section**	**1. Was all equipment associated with the response properly maintained and supported?** **1. Was all support equipment (e.g. communications, transportation, administrative, etc.) properly maintained and supported?**		

Finance Section Questions

Date: **Plan #** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	14 Procurement **ICS Finance**	**1. Did Finance and Logistics initiate a procedure and order forms for ordering equipment?** **2. Were sufficient porta-potties ordered?** **3. Was there sufficient water for command post and all the staging areas?** **4. Did Finance receive the order forms and provide input to logistics and resource unit on status of purchases?** **5. Provide costs estimates for continuing operations?**		

Finance Section Questions

Date: **Plan #** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	14.1 Personnel **ICS Finance →Logistics**	**1. Were sufficient personnel with required qualifications and training identified necessary to mount and sustain the response?** **2. Did Finance and Logistics initiate a procedure and order forms for ordering equipment?**		

Finance Section Questions				
Date:	**Plan #**	**Name of Drill/Incident:**		
Time	**PREP Objective #**	**Expected Outcome**	**Observation**	**Recommendation**
	14.2 Response Equipment **ICS Finance Section**	**1. Was additional response equipment ordered properly and tracked through Resource Tracking, Logistics and Finance?**		

Finance Section Questions

Date: **Plan #** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	14.3 Support Equipment **ICS Finance Section**	**1. For the above, was there a procedure in place for ordering equipment / personnel?** **2. Was the procedure easy to follow?** **3. Was all the procurement information forwarded to the Situation/Resource Tracking Unit?** **4. If equipment were to break down, was there a process to replace it?** **5. Were there enough copy machines?** *****Did Logistics provide necessary support for implementing IAP?** **6. Computers/Printers** **7. Printers/Plotters** **8. Fax machines?** **9. GIS equipment?** **Documentation supplies (pens, pencils, etc.)?**		

Planning Section Questions

Date: **Plan #** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	15 Documentation	**1. Were all operational and support aspects of the response documented?** **2. Were detailed records of decisions and actions taken during the incident?** **3. Documents shall be provided to the Adminis-trator upon request?** **4. Was ICS 214 submitted to the Documentation Unit?** **5. Were DAR's provided to be submitted to OSPR staff working in Documentation?** **6. Did Documentation establish a process to receive electronic documents and maps?** **7. Did Documentation provide necessary copies of forms such as the IAP?** **8. Did Documentation have an IN box?** **9. Was all weather and tidal information given to Documentation?**		

Planning Section Questions

Date: **Plan#** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	CA 1 Situation Unit ICS Planning ←→Ops ←→Logistics	1. Did the Unit collect, organize and disseminate information about the current status of the spill? 2. Was the ICS organization chart displayed early in the exercise? Located in a convenient spot? 3. Did the Unit post meeting times per UC direction? 4. Were copies of the IAP, maps, org charts, etc., available?		
	CA 2 Resource Unit ICS Planning Section	1. Did the Unit maintain accurate status of all incident resources? 2. Did the Unit submit resource requests through Logistics? 3. Did the Unit request assistance from Logistics for additional resources? 4. Did the Unit keep Logistics and Finance informed about resources in the field? 5. Did the Unit verify with Logistics that resources checked in were actually ordered for the incident? 6. Did the Unit maintain a		

		master list of checked-in resources? **7. Did the Unit forward a copy of the master list to the Logistics Unit?** **8. Did the Resource Unit Leader attend the tactics meeting?** **9. Did the Unit Leader attend the Planning meeting?** **10. Did the Unit Leader brief all members of the Unit after meetings?**		

Planning Section Questions

Date: **Plan#** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	CA 3 Environmental Unit ICS Planning or Ops	1. Did the Unit prepare environmental data including assessments, modeling, surveillance, resources at risk, and impacts on environmentally sensitive sites? 2. Were samples taken using GPS? Did the GPS work? 3. Was the information relayed to the GIS team? 4. Did the Environmental Unit prepare the ICS 232/232a (Resources at Risk) with the assistance of the Situation Unit?		

Planning Section Questions				
Date:	**Plan#**	**Name of Drill/Incident:**		
Time	**PREP Objective#**	**Expected Outcome**	**Observation**	**Recommendation**
	CA 4 Resources at Risk **ICS Planning Section**	**1. Did the Tech Spec identify natural resources thought to be at risk from exposure to spilled oil through the gathering and analysis of known and anticipated oil movement and the location of natural, cultural and economic resources?** **2. Did the Tech Spec prioritize a list of resources for protection based on the relative importance of the resources and relative risk of exposure?** **3. Was the ACP used to identify/verify environmentally sensitive sites?** **4. Was the plan holder's contingency plan used for the same purpose?** **5. Was the information relayed to the GIS team?**		

Command Staff, Liaison Officer Questions

Date: **Plan#** **Name of Drill/Incident:**

Time	PREP Objective#	Expected Outcome	Observation	Recommendation
	CA 5 Liaison Officer ICS Command Section	1. Did the LO establish and coordinate interagency communication and cooperation? 2. Did the LO get briefed by the UC? 3. Did the LO identify the local agency representatives? 4. Did the LO identify local resources, expertise (people, response equipment, etc.)? 5. Forward the information to Planning, Operations and Logistics? 6. Did the LO send agency representatives to participate in ICS sections, such as Operations or Planning? 7. Did the LO set up Agency Reps Meetings? (ARMs) 8. Did any of the local reps work in the UC? 9. Identify the agency and representative. 10. Did the LO brief the UC on local governments' concerns?		

		11. Did the LO complete the ICS Form 214 (Activity Log)? **12. Did the LO attend the Planning Meetings and Command Meetings?** **13. Did the LO provide IAP's to agency representatives?** **14. Did the LO provide copies of press releases to the agency representatives?** **15. Did the LO identify stake holders?** **16. Did the LO provide the Documentation Unit with a copy of any documents that were generated?** **17. Did the LO provide information to agency representatives on how to get reimbursed?**		

Planning Section Questions				
Date:	**Plan#**	**Name of Drill/Incident:**		
Time	**PREP Objective #**	**Expected Outcome**	**Observation**	**Recommendation**
	CA 6 Dispersants **ICS Planning**	**1. Were the state and federal dispersant use policies and procedures adopted in the Region IX Regional Contingency Plan and the federal area plans utilized?** **2. Were the necessary equipment and personnel identified and mobilized?** **3. Were the appropriate FOSC checklists and evaluation forms (pre-approval or case-by-case dispersant use approval utilized?** **4. Was the Regional Response Team activated? Were they provided information sufficient for the RRT to make a recommendation?** **5. Were actions documented?** **6. Was a dispersants plan included in the IAP, as appropriate?**		

Planning Section Questions

Date: **Plan#** **Name of Drill/Incident:**

Time	PREP Objective #	Expected Outcome	Observation	Recommendation
	CA 7 In-situ Burning ICS Planning	1. Were state and federal in-situ burning policies and procedures utilized, as adopted in the federal area contingency plans? 2. Were the necessary equipment and personnel identified and mobilized? 3. Were communications established and coordinated with the local air quality management districts? 4. Were in-situ burning checklists and evaluation forms completed? 5. Was the Regional Response Team activated? 6. Were they provided information sufficient for the RRT to make a recommendation? 7. Were actions documented? 8. Was an in-situ burning plan included in the IAP, as appropriate?		

Planning Section Questions				
Date:	**Plan#**	**Name of Drill/Incident:**		
Time	**PREP Objective #**	**Expected Outcome**	**Observation**	**Recommendation**
	CA 8 Bioremediation **ICS Planning**	**1. Was bioremediation discussed?** **2. List discussion points**		

Planning Section Questions

Date: **Plan#** **Name of Drill/Incident:**

Time	PREP Objective#	Expected Outcome	Observation	Recommendation
	CA 9 Waste Management ICS Planning (See PREP 9)	UC confirms recovered oil quantities Does the waste management plan include the following? 1) Objectives 2) Storage location approved by UC/IC All storage described by: a. Date, time, location, tank/bin number, size names of DFG, Federal representative and RP witnesses b. Note the location of storage on the form. 3) Segregation of waste stream by type and location where recovered. 4) Liquid wastes a. Storage location(s) b. Tanks visibly identified and secure? c. Methods of: Quantification Gauging Sampling BS&W determination d. Tanks sounded to assure empty? e. Decanting procedures		

		f. Oil collected at decon areas stored separate-ly. **5) Solid waste** **a. Storage location(s)** **b. Describe methods of segregation, security** **c. How was disposal profiled?** **d. Was it sent to EPA approved site?** **e. Oil collected at decon areas stored separately?** **6) Stipulation, terms, with example attached** **7) Was a chronological history kept, showing each event of quantification for both liquids and solids?** **8) Was distinction made between solid waste and hazardous waste as per DTSC?** **9) Did the plan include procedures for the following:** **a. Obtaining permits and/or waivers** **b. Waste characterization** **c. Volumetric Oil collected at decon areas stored separately** **d. Procedures in compliance with Title 14?** **10) Include formulas used to quantify liquids and solids** **11) Include all quantification calculations and information obtained through this process.**		

Appendix 8 **Meeting Evaluation Questions**

Meeting: Incident Brief ICS 201 Transfer of Command	**Yes/No**	**Notes**
Attendees: Current IC/UC incoming IC/UC; General Staff as Required; Note taker. Approximately 30-45 minutes		
Was an ICS 201 filled out during the initial response?		
Did the ICS 201 contain a safety briefing? Was PPE discussed? Were work zones identified e.g. hot zone? MSDS utilized.		
Were the out-going IC/UC and Planning Chief available for the meeting?		
Was the situation clearly described and mapped?		
Were the current priorities/ objectives clearly outlined? ICS Form 202		
Were the current strategies and tactics clear?		
Was an assignment chart and organizational chart available to the IC/UC? ICS Forms 203 & 207		
Were the resources on-scene, and the resources ordered described to the UC/IC?		
Did the UC ask Logistics to set up a Resource Ordering Process?		
Were any sensitive sites identified or impacted?		
Were potential impacts to wildlife discussed?		
Was the ACP available? Was it utilized?		

Meeting: Incident Brief ICS 201 Transfer of Command	**Yes/No**	**Notes**
Was a Command Post established? Was an ICP identified for expanding response?		
Were weather and tides, currents and trajectories discussed?		
Were Media concerns discussed? Initial Press Release?		
Liaison/ Local government concerns discussed? Was there LGOSC participation? Did the UC discuss/request setting up a web site for local Government?		
Were spill hotlines requested: Health, Oiled wildlife observations, volunteers, 3rd party claims?		
Was the ICS 233-Open Action Tracking used to track action items, questions or concerns?		

Initial UC Meeting	**Yes/No**	**Notes**
UC's, Note taker. Approx. 45 minutes		
Did the UC's discuss and concur on import issues?		
Were roles and responsibilities clarified?		
Was the Incident named?		
Were jurisdictional boundaries discussed?		
Were Liaison and Agency Representatives discussed e.g. local Public Health, local OES?		
Were the Operational Periods, start times and work shifts established?		
Were the best qualified Operations section Chief and Deputy identified?		
Were any technical support positions identified and requested?		
Was GIS support requested?		
Did the UC establish meeting times?		

Did the UC/IC request any hotlines set up, e.g. Public health, oiled wildlife, etc.?		
Did the UC discuss setting up web sites for the Local Government, elected officials and the public?		

IC/UC Development/Update Objectives Meeting	Yes/No	Notes
Attendees: UC, Command and General Staff (as appropriate), Planning Section Chief / Facilitator, Note taker. 1 hour		
Was the agenda posted and reviewed?		
Did the Planning Chief call the meeting to order and conduct roll call?		
Were the ground rules posted and reviewed?		
ICS 233 Open Action Tracking- Were open action items from initial/previous meetings reviewed? Completed? On-going?		
Were objectives identified for the next operational period?		
Did the UC identify priorities and constraints?		
Were objectives reviewed for the next operational period?		
Was information flow discussed?		
ICS 213 Resource Request- Was Resource ordering discussed?		
Was managing sensitive information discussed?		
Was Security for the Command Post Staging Areas, JIC, etc discussed?		
Was the ICS 202 used?		
Did the IC/UC request the following hotlines? Public health, volunteer hotline and wildlife hotline.		
Did the IC/UC request assistance from Public Health?		
Did Documentation post/keep track of After Action Items?		
Were Operational Periods discussed? Were night OPS discussed		

IC/UC Development/Update Objectives Meeting	Yes/No	Notes
Did the UC request setting up separate Web Sites for the Command Post, Public, and Agency/Public Official?		

Command and General Staff Meeting/Briefing - IC/UC Members, Command and General Staff, Situation Leader, Documentation, Facilitator / Planning Section Chief. 30-45 minutes	Yes/No	Notes
Was an Agenda Posted?		
Was the meetings schedule posted and reviewed?		
Was role call taken?		
Were the Ground Rules reviewed?		
Did the Facilitator clarify Incident priorities, objectives, tasks, issues, concerns?		
ICS 233 Incident Open Action Tracker: Were Open Action Items Reviewed and or Recorded?		
Were staff roles/responsibilities clarified?		
Were staff assignments provided?		
Did the Situation Leader give a clear description as to what has happened?		
Did the Situation Leader use maps, trajectories that identified where the oil is, where the oil is predicted to go?		
Did the maps identify where work crews and boom were located?		
Did the maps identify on-shore clean up operations and staging areas?		
Did the maps identify locations of sensitive sites, nurseries, haul-outs or spawning grounds?		

Command and General Staff Meeting/Briefing - IC/UC	**Yes/No**	**Notes**
Were pre-identified Operational Divisions from the ACP used? Did the maps identify segments and groups?		
Was the ICS 202 Response Objectives reviewed?		
Were maps based on the current operations available?		
Was the ICS 203/207 Organizational charts used?		
Did the PIO give a Media update?		
Did the Liaison Officer give an Agency Rep update?		
Did the Safety Officer give a Safety Brief?		
Did the Logistics Officers give a Brief?		
Did the Finance Officer give a Brief?		
ICS 233 Incident Open Action Tracker: Was the ICS 233 reviewed at the end of the meeting? Were new Action Items added to the ICS 233? Were items tracked for Completed? On-going? Were meetings conducted within a reasonable time limit and did the participants remain on track with relevant issues?		

Prepare for Tactics Meeting	**Yes/No**	**Notes**
Attendees: Operations and Planning Section Chiefs, the Contractors (OSRO's), Logistics, Resource, Situation, Environmental Safety, as needed. 1 to 1:30 hours as required		
Did the UC provide the Planning Section Chief with a revised ICS 201 Response Objectives for the next operational period?		
Did the UC provide both an ICS 207 Org. Chart and an ICS 230 meeting schedule?		
Was role call announced?		

Prepare for Tactics Meeting	Yes/No	Notes
Was the Agenda Posted?		
Were ground rules reviewed?		
ICS 203 Objectives. Were the incident objectives posted and reviewed?		
Was the following information Posted? ICS 230 Meeting Schedule Situation Maps Weather Report Trajectories ICS 209 Incident Status Summary ICS 215 Operational Planning Worksheet ICS 234 Work Matrix ICS Resource Summary ICS 232 Resources at Risk		
Was the ICS 233 Incident Open Action Tracker reviewed at the beginning of the meeting?		
Did the Op SC and PSC document the strategies and tactics needed to meet the objectives?		
Did the Ops Chief clearly provide the Sit Unit Leader any new areas of operations that need to be integrated on the Situation map?		
Did the Ops Section Chief provide/assist the Sit Leader and Resource leader with updates to the situation map to reflect current operations and resources?		
Was a Draft OCS 234 Work Analysis prepared using the objectives from the UC Command Meeting?		
Were those objectives broken down into Strategies/Tactics and then Tasks to be accomplished during the next operational period?		
Was the Planning Chief able to communicate with the		

Prepare for Tactics Meeting	Yes/No	Notes
Contractors in the field to gather information about what resources are in use, staged, and need to be ordered?		
Did the Safety Officer begin to prepare the ICS 215a Hazard Risk Analyst?		
Did the Situation Unit Resource displays verify the status of current field situation and update the Ops and Planning Section Chiefs?		
Did the Environment Unit Leader provide tactical deployment strategies for the next operational period based on forecasts and trajectories?		
Were open Action Items from previous meetings reviewed?		
Were Action Items captured and assigned before meeting dismissed?		
Tactics Meeting- Blueprint for tactical operations and deployments for the next operational period.	**Yes/No**	**Notes**
Facilitation: Planning Section Chief. Attendees: Operations Chief, Logistics Chief, Resource Leader, Situation Leader, Environmental Leader, Safety, Communications Leader, Historian, ICS Specialist, Documentation, Technical Specialists, as needed. 30 – 45 minutes		
Was the Agenda posted?		
Was role call taken?		
Were ground rules reviewed?		
Were the Objectives, ICS 202, posted and reviewed?		
Was the Incident Status Summary posted and reviewed		
Were previous Action Items Reviewed?		
Did the Situation Leaders Brief include posting and reviewing the following: current maps____ ICS 209 Update____ Weather forecast____ Projected incident situation / trajectories___		
Did the Environmental Leader prepare and give an update of Resources at Risk ICS 232? Were priorities of sensitive site protection discussed?		
Was an ICS 209 used to give the Weather update?		

Prepare for Tactics Meeting	Yes/No	Notes
Was the Operational Planning Worksheet ICS 215 reviewed and modified?		
Was the Strategies/Tactics ICS 234 Reviewed?		
Was safety discussed?		
Did Logistics Section Chief give briefing?		
Were additional resources identified for the next operational period?		

Planning Meeting To provide an overview of the tactical plan and strategies to achieve the priorities and objectives for the next operational period. Identify the work assignments and resources needed to implement the proposed plan. 60 minutes	YES/No	Notes
Attendees: Planning Section Chief / Facilitator. UC Command, Command Staff, General Staff: Resource Unit Leader, Situation Leader, Environmental Leader, Technical Specialist, GIS, Communications Leader, ICS Specialist, Documentation.		
Was the Agenda posted and reviewed?		
Were the ground rules posted and reviewed?		
Was role call announced?		
Were the following forms properly displayed: Weather forecast ___,		
Trajectories ___, Maps base on current operations___, Objectives-ICS 202__,		
Were resource ordering requirement reviewed?		
Were the Resource Status reviewed: Resource Summaries__, Worksheet Analysis Matrix-ICS 215__, Incident Status Summary- ICS 209__, Meeting Schedule- ICS 230___.		
Did the Situation Leader give a clear briefing based on current maps, trajectories?		
Were Resources at Risk discussed?		

Were the objectives and priorities review?		
Were the strategies and tactics compared to the objectives to assure they met the objectives?		
Was the proposed plan compared to the UC objectives?		
Was a “round-robin” conducted with the Command and General Staff?		
Were Action Items reviewed to assure previous concerns were addressed?		

IAP Prep To present the IAP to the oncoming shift supervisors, at least one hour prior to shift change. Duration: 2 hours	**Yes/No**	**Notes**
Attendees: IC, Command Staff, General staff, Situation Leader, Resource Leader, Staging Area manager, Communications Unit.		
Was the Agenda Posted?		
Were ground rules, agenda, and role call given?		
Were the Objectives as well as changes to the Objectives reviewed?		
Was the Situation Briefing clear and understood?		
Was the IAP approved and distributed within 2 hours		
Was the IAP printed and signed by the UC?		
Were all contingencies addressed?		
Are the required resources ready?		

Operations Briefing- Present the IAP to the oncoming shift supervisors. 30 minutes, 1 hour before shift change **After meeting**, off-going supervisors should be interviewed in more detail by their relief.	**Yes/No**	**Notes**
Facilitator: Planning Section Chief Attendees: UC, Command Staff, General Staff Situation Leader, Resource Leader, Wildlife Leader, Staging Area Manager, Communications leader, Branch Directors.		
Were the following forms present and/or posted: Weather report___; Incident Map___; ICS 202 Response Objectives ___; ICS 203&207 Organization List or Chart ___ ICS 204 Field Assignments ___; ICS 206 Medical Plan ___; ICS 208 Site Safety Plan)___; ICS 223 Safety Messages ___.		
Were the ground rules and agenda posted?		
Was role call announced?		
Were the IC objectives reviewed?		

Were priorities & constraints discussed?		
If any changes to the objectives from the previous shift, were they highlighted?		
Was the situation brief clear?		
Were current response actions and accomplishments discussed?		
Did logistics leader give a clear update?		
Did the financial leader give a clear update?		
Was safety discussed?		
Did the PIO give an update about news releases and incoming phone calls?		
Did the Liaison Officer give an update about local government concerns?		

Start over with the ICS Planning "P" Process. See Appendix 3.

Appendix 9A

ACTIVITY	DATE	LOCATION	PHONE	DRILL PLANNING NOTES
ORGANIZATION	**NAME**	**E-MAIL**	**PHONE**	**DRILL PLANNING NOTES**

STATE and LOCAL PLAYERS/ROLES	MAJOR OBJECTIVES	CONCERNS/LESSONS LEARNED
SOSC		
PIO		
Liaison		
Planning:		
Environmental Unit		
Resources at Risk Specialist		
Situation/GIS Specialist		
Operations:		
Wildlife Branch Director		
Quantification Specialist		
Truth		
Evaluators:		

Appendix 9B

Agency / Address	Point of Contact	E-Mail / phone	Notes
County Sheriff's			Phone call and invitation e-mail.
Office of Emergency Services,			Phone call and invitation e-mail.
Assembly District			Phone call and invitation e-mail. No reply. Follow-up by voice mail; no reply. Call during exercise : "this is a drill."
Bay Area Air Quality Management District	*NOTE: Please call during exercise and verify phone number and point of contact.*		Phone call and invitation e-mail. No reply.
Cal EMA			Phone call and invitation e-mail.
California Conservation Corp			Phone call and invitation e-mail.
County Env. Health			Phone call and invitation e-mail.
County Health Hazmat-Duty Officer			Phone call and invitation e-mail.
OES,			Phone call and invitation e-mail.
Dept. of Parks and Recreation Open Space District			Phone call and invitation e-mail.
Regional Park District			Phone call and invitation e-mail.
Mayor			Phone call and invitation e-mail.

Agency / Address	Point of Contact	E-Mail / phone	Notes
Native American Heritage Commission			Phone call and invitation e-mail.
OEHHA			Phone call and invitation e-mail.
Regional Water Quality Control Board			Phone call and invitation e-mail
San Francisco Bay Conservation and Development Commission			Phone call and invitation e-mail.
State Lands Commission			Phone call and invitation e-mail.
State Office of Historic Preservation			Phone call and invitation e-mail.
State Senate District Office			Phone call and invitation e-mail. For drill, contact
US Congressman			Phone call and invitation e-mail.

Appendix 10

References

USCG Incident Management Handbook
USCG Strike Force Evaluator Training Manual
PREP Guidelines
California Area Contingency Plans
Federal Regional Contingency Plan, Region IX
Homeland Security Exercise and Evaluation Program
ConocoPhillips Incident Management Handbook
Chevron Emergency Response Incident Command System Planning Cycle Quick Guide